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Attorneys for Defendants  
Genworth Financial, Inc., Genworth Financial Investment Services, Inc., Genworth  
Financial Securities Corp., Genworth Financial Brokerage Services and Genworth  
Financial Advisers Corp.

JOSEPH MUSUMECI AND CHARLES  
MUSUMECI,

Plaintiffs,

vs.

GENWORTH FINANCIAL, INC., GENWORTH  
FINANCIAL INVESTMENT SERVICES, INC.,  
GENWORTH FINANCIAL SECURITIES CORP.,  
GENWORTH FINANCIAL BROKERAGE  
SERVICES AND GENWORTH FINANCIAL  
ADVISERS CORP.,

Defendants.

UNITED STATES DISTRICT COURT  
DISTRICT OF NEW JERSEY

CIVIL ACTION NO.

**NOTICE OF REMOVAL**

TO: Clerk  
United States District Court, District of New Jersey  
M.L. King, Jr. Federal Bldg. & U.S. Courthouse  
50 Walnut Street  
Newark, New Jersey 07102

WITH NOTICE TO:

Clerk  
New Jersey Superior Court, Law Division  
Passaic County  
77 Hamilton Street,  
Paterson, New Jersey 07505

Richard Daniel De Vita, Esq.  
DeVita & Associates  
1228 Garden Street  
Hoboken, New Jersey 07030  
Attorneys for Plaintiff

PLEASE TAKE NOTICE THAT, pursuant to 28 U.S.C. §1441 and §1446, defendants Genworth Financial, Inc., Genworth Financial Investment Services, Inc., Genworth Financial Securities Corp., Genworth Financial Brokerage Services and Genworth Financial Advisers Corp. (together “Genworth” or “Defendants”) hereby give notice of removal of this action, which was commenced in the New Jersey Superior Court, Law Division, Passaic County, Docket No. PAS-L-1999-10 (“New Jersey Superior Court Action”), to the United States District Court for the District of New Jersey, with full reservation of any and all rights, claims, remedies, objections and defenses.

As grounds for this removal, Genworth states the following:

1. Genworth Financial, Inc. is a corporation organized under the laws of Delaware with a principal place of business in Virginia.
2. Genworth Financial Investment Services, Inc. is a corporation organized under the laws of Illinois with its principal place of business in Illinois.
3. Genworth Financial Securities Corp. is a corporation organized under the laws of Illinois with its principal place of business in Illinois.
4. Genworth Financial Brokerage Services is not a legal entity and is therefore incapable of being sued.
5. Genworth Financial Advisers Corp. is a corporation organized under the laws of Illinois with its principal place of business in Illinois.

6. Plaintiff Joseph C. Musumeci is a resident of New Jersey with an address of 37 East Saddle River Road, Saddle River, New Jersey.

7. Plaintiff S. Charles Musumeci, Jr. is a resident of New Jersey with a last known address of 1 Great Hall Road, Mahwah, New Jersey.

8. This is a civil action over which the District Court possesses original jurisdiction under 28 U.S.C. §1332(a), and, therefore, Genworth is entitled to remove this action to the District Court pursuant to 28 U.S.C. §1441.

9. This action is removed on the basis of diversity jurisdiction. This action is between citizens of different states, i.e., plaintiffs are New Jersey residents and defendants are either Delaware or Illinois corporations with principal places of business in either Illinois or Virginia.

10. The matter in controversy exceeds the sum of \$75,000.00, exclusive of interest and costs. This is made clear by the fact that the Plaintiff's Complaint alleges that Plaintiffs were owed approximately \$200,000 a year each year between 2006 and present. (See Complaint, at ¶ 11(d), ¶ 15 and ¶35.)

11. All Defendants consent to removal. Each defendant expressly reserves its right to contest personal jurisdiction in its first responsive pleading pursuant to Fed. R. Civ. Pr. 12(b).

12. On April 23, 2010, Genworth received a copy of the Complaint and Summons in the New Jersey Superior Court Action, copies of which are attached hereto as Exhibit A. To Genworth's knowledge, no further pleadings have been filed in the New Jersey Superior Court Action other than a Civil Case Information Statement.

13. Genworth does not concede that service of process was proper.

14. This Notice of Removal is timely as it has been filed within thirty days after Genworth's receipt of the Complaint. See 28 U.S.C. §1446(b).

15. Pursuant to 28 U.S.C. §1446(a), Genworth has attached hereto, as Exhibit A, true and correct copies of all process, pleadings and orders in its possession relating to the New Jersey Superior Court Action, and incorporates them herein as part of this Notice of Removal.

16. A copy of this Notice of Removal is being served on Plaintiff and filed contemporaneously with the Clerk of the New Jersey Superior Court, Law Division, Passaic County.

17. The Complaint does not contain a jury demand.

18. For the foregoing reasons, Genworth hereby removes this action to the United States District Court for the District of New Jersey.

WHEREFORE, Genworth requests that this civil action proceed in the United States District Court for the District of New Jersey as an action properly removed thereto.

RIKER, DANZIG, SCHERER,  
HYLAND & PERRETTI LLP  
Attorneys for Defendants  
Genworth Financial, Inc., Genworth  
Financial Investment Services, Inc.,  
Genworth Financial Securities Corp.,  
Genworth Financial Brokerage Services  
and Genworth Financial Advisers Corp.

By:   
Michael R. O'Donnell

Dated: May 19, 2010

**Certificate of Filing and Service**

I certify that on the date indicated herein I caused one copy of this Notice of Removal and a Civil Cover Sheet to be filed by electronic filing with the Clerk, United States District Court, District of New Jersey, M.L. King, Jr. Federal Bldg. & U.S. Courthouse, 50 Walnut Street, Newark, New Jersey 07102, to be sent under separate cover by Federal Express to the Clerk, New Jersey Superior Court, Law Division, Passaic County, 77 Hamilton Street, Paterson, New Jersey 07505 and to be sent under separate cover by facsimile and Federal Express to Plaintiffs' counsel, Richard Daniel De Vita, Esq., at 1228 Garden Street, Hoboken, New Jersey 07030.

  
Michael R. O'Donnell

Dated: May 19, 2010

4040962.2

**EXHIBIT A**

Richard Daniel De Vita, Esq.  
**DEVITA & ASSOCIATES**  
1228 Garden Street  
Hoboken, New Jersey 07030  
(201) 714-7623

Attorney for Plaintiffs, Joseph C. Musumeci and S. Charles Musumeci, Jr.

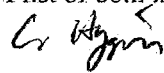
<p>Joseph Musumeci and Charles Musumeci,</p> <p>Plaintiffs,</p> <p><i>versus</i></p> <p>Genworth Financial Inc, Genworth Financial Investment Services, Inc, Genworth Financial Securities Corp, Genworth Financial Brokerage Services, and Genworth Financial Advisers Corp,</p> <p>Defendants.</p>	<p>SUPERIOR COURT OF NEW JERSEY CHANCERY DIVISION PASSAIC COUNTY</p> <p>DOCKET NO.: PAS-L-1999-10</p> <p>Civil Action</p> <p><b>SUMMONS</b></p>
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**FROM THE STATE OF NEW JERSEY  
TO THE DEFENDANTS NAMED ABOVE:**

The Plaintiffs, named above, have filed a lawsuit against you in the Superior Court of New Jersey. The Complaint attached to this Summons states the basis for this lawsuit. If you dispute this Complaint, you or your attorney must file a written answer or motion and proof of service with the deputy clerk of the Superior Court in the county listed above within thirty-five (35) days from the date you received this summons, not counting the date you received it. (The address is: Deputy Clerk of the Superior Court, Passaic County Superior Court, 77 Hamilton Street, New Jersey 07505.) A \$135 filing fee payable to the Clerk of the Superior Court and a completed Case Information Statement ("CIS") (available from the deputy clerk of the Superior Court) must accompany your answer or motion when it is filed. You must also send a copy of your answer or motion to the Plaintiffs' attorney whose name and address appear above. A telephone call will not protect your rights; you must file and serve a written answer or motion (with fee and completed CIS) if you want the Court to hear your defense. Enclosed is also the Track Assignment Notice from the Court.

If you do not file and serve a written answer or motion with 35 days, the Court may enter a judgment against you for the relief the Plaintiffs' demands, plus interest and costs of suit. If judgment is entered against you, the Sheriff may seize your money, wages or property to pay all or part of the judgment.

If you cannot afford an attorney, you may call the Legal Services office in the county where the action is pending. If you do not have an attorney and are not eligible for free legal assistance, you may obtain a referral to an attorney by calling one of the Lawyer Referral Services. A list of both is attached.

  
Christina Higgins  
Acting Clerk of the Superior Court

DATED: April 23, 2010

PASSAIC SUPERIOR COURT  
PASSAIC COUNTY COURTHOUSE  
77 HAMILTON STREET  
PATERSON NJ 07505

TRACK ASSIGNMENT NOTICE

COURT TELEPHONE NO. (973) 247-8183  
COURT HOURS

DATE: APRIL 20, 2010  
RE: MUSUMECI VS GENWORTH FINANCIAL INC  
DOCKET: PAS L -001999 10

THE ABOVE CASE HAS BEEN ASSIGNED TO: TRACK 2.

DISCOVERY IS 300 DAYS AND RUNS FROM THE FIRST ANSWER OR 90 DAYS  
FROM SERVICE ON THE FIRST DEFENDANT, WHICHEVER COMES FIRST.

THE PRETRIAL JUDGE ASSIGNED IS: HON BRUNO -. MONGIARDO

IF YOU HAVE ANY QUESTIONS, CONTACT TEAM 002  
AT: (973) 247-8171.

IF YOU BELIEVE THAT THE TRACK IS INAPPROPRIATE YOU MUST FILE A  
CERTIFICATION OF GOOD CAUSE WITHIN 30 DAYS OF THE FILING OF YOUR PLEADING.  
PLAINTIFF MUST SERVE COPIES OF THIS FORM ON ALL OTHER PARTIES IN ACCORDAN  
WITH R.4:5A-2.

ATTENTION:

RICHARD D. DEVITA  
1228 GARDEN STREET  
HOBOKEN NJ 07030

JURMATI





Richard Daniel De Vita, Esq.  
**DEVITA & ASSOCIATES**  
1228 Garden Street  
Hoboken, New Jersey 07030  
(201) 714-7623

Attorney for Plaintiffs, Joseph C. Musumeci and S. Charles Musumeci, Jr.

<p>Joseph Musumeci and Charles Musumeci,</p> <p><b>Plaintiffs,</b></p> <p><i>versus</i></p> <p>Genworth Financial Inc, Genworth Financial Investment Services, Inc, Genworth Financial Securities Corp, Genworth Financial Brokerage Services, and Genworth Financial Advisers Corp,</p> <p><b>Defendants.</b></p>	<p>SUPERIOR COURT OF NEW JERSEY CHANCERY DIVISION PASSAIC COUNTY</p> <p>DOCKET NO.: PAS-L-</p> <p>Civil Action 1999 - 10</p> <p><b>COMPLAINT</b></p>
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Joseph Musumeci and Charles Musumeci (the "Plaintiffs") by and through their attorney, Richard DeVita, Esq., state the following as their Complaint against Genworth Financial Inc, Genworth Financial Investment Services Inc ("GFIS"), Genworth Financial Securities Corp, Genworth Financial Brokerage Services, and Genworth Financial Advisers Corp (collectively, "Genworth" or the "Defendants").

This action is for the breach of an oral agreement, made by the Defendants at the time of the sale of the Plaintiffs' business in October 2005, to provide a stream of revenue to the Plaintiffs called a "Plug Number" which was simply the Plaintiffs' business' unallocated production revenue.

#### **Background Parties**

1. Joseph Musumeci and Charles Musumeci are the sons of S. Charles and Mary Musumeci. S. Charles (senior) Musumeci formed a financial services firm, C.J.M. Planning Corp. ("CJM"), in 1971.

REC'D & FILED  
SUPERIOR COURT  
OF NEW JERSEY

APR 19 2010

PASSAIC COUNTY

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2. During all relevant periods of time, Joseph Musumeci and Charles Musumeci managed CJM, as well as two affiliates, C.J.M. Insurance Brokerage LLC and C.J.M. Asset Management LLC (collectively, "CJM and its Affiliates"), all of which were located at 223 Wanaque Avenue, Pompton Lakes, Passaic County, New Jersey.
3. On October 24, 2005, Genworth purchased CJM and its Affiliates.<sup>1</sup> [A copy of Genworth's Press Release dated October 25, 2005 is attached as Exhibit "A".]
4. According to its own website, the parent firm Genworth Financial Inc is a global financial security company publically traded on the New York Stock Exchange with more than \$100 billion in assets and a presence in more than 25 countries.
5. GFIS, a securities brokerage firm whose sales force consists of independent tax professionals and financial consultants, consists of Genworth Financial Securities Corporation, a full service broker-dealer registered with the U.S. Securities and Exchange Commission ("SEC") and the Financial Industry Regulatory Agency ("FINRA"), as well as Genworth Financial Advisors Corporation, a SEC registered investment advisory firm.

#### **Sale in October 2005**

6. A purchase of a business generally turns on the purchase of a stream of revenue -- the purchase by Genworth of CJM was not different. GFIS' platform of using tax professionals was similar to that of CJM's, and the asset purchase in October 2005 effectively transferred CJM's brokers to Genworth, so that the brokers' transactions and revenue flowed to Genworth.
7. The sales price of CJM's assets rested on a very simple calculation:
  - a. All of CJM's brokers' contracts with CJM and their respective client base, with their generated commission and revenue; and

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<sup>1</sup> The purchase agreement was between Genworth Financial Securities Corporation & Genworth Financial Advisors Corporation and C.J.M. Planning Corp., C.J.M. Insurance Brokerage LLC, CJM Asset Management LLC, S. Charles Musumeci, Jr. and Joseph C. Musumeci as trustees for the S. Charles Musumeci and Mary Musumeci Irrevocable Trust, S. Charles Musumeci, Jr., and Joseph C. Musumeci (the "Asset Purchase Agreement").

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- b. marketing/ distribution or “12b-1” money received from mutual fund firms<sup>2</sup>; and
  - c. the personal production of Joseph Musumeci and Charles Musumeci, as well as all other revenue and commissions generated on “house accounts”<sup>3</sup>, and unassigned 12b-1 mutual fund distributions and mutual fund trails<sup>4</sup>. This category was called the “Plug Number” as it rounded the sales price to the actual revenue to the Plaintiffs. That number approximated \$300,000 to \$450,000 annually prior to the sale/ conversion.
8. A spreadsheet reflecting the unpaid or unassigned commission trails for just the third quarter 2005, immediately prior to the sale, attached as Exhibit “B”, reflects a total of \$63,516.46 – or approximate annual unassigned trails of \$254,065.86. That number includes a number of brokers who did not meet CJM’s threshold policy and thus were not paid, which represented a small percentage of the total. As the Defendants do not have such a policy, and would pay out on all trails, that Plaintiffs were aware that that small portion would decrease. However, the balance should still flow to the Plaintiffs as part of the Plug Number.
9. All securities or stock brokers receive commission, at a rate depending on their negotiated rate with their respective employer firm. The Plaintiffs, then also individual securities brokers themselves, were to receive from the Defendants 85% of the generated commission from their underlying clients’ accounts, in addition to the mutual fund trails and commission (new and trail) from the house accounts.

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<sup>2</sup> Mutual fund companies have certain costs related to running and operating the fund, some incurred with respect to a particular investor and other more general as regular operating costs, such as investment advisory fees, management, marketing and distribution expenses, brokerage fees, and custodial, transfer agency, legal, and accountants fees. One such distribution fee is called a “12b-1 fees” which are fees paid to cover distribution expenses and sometimes shareholder service expenses, named from a SEC rule authorizing such payment, and include fees paid for marketing and selling fund shares, such as compensating brokers and others who sell fund shares. CJM was the recipient of such 12b-1 fees from many mutual fund firms.

<sup>3</sup> For the purpose herein, a “house” account, which may exist for many reasons, is one that is not assigned a specific broker. At the time of sale/ conversion to the Defendants, CJM had many house accounts. As referenced below, while the Plaintiffs can state the dollar revenue those accounts generated, since CJM gave the Defendants all records and computer backup for all clients, the Plaintiffs can NOT specify the NUMBER of those accounts, and must rely on the Defendants’ representations and records, the latter which have been withheld.

<sup>4</sup> Mutual fund firms pay a small trail commission to a distributor fund on the value of the investment with the fund.

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10. The negotiation and amount of compensation on those accounts and the Plug Number was done at the last moment prior to the acceptance of the sale agreement and were so important so as to delay and/ or stop the deal which would not have closed without its resolution.
11. During final negotiations between the Plaintiffs and Enrique Vasquez, President of GFIS, who negotiated all terms of the sale:
  - a. Defendants originally stated that they were using that Plug Number as part of their purchase and profit valuation, yet then asserted that they could not specify the size of that number.
  - b. Next, it was discussed that all of the house accounts would be transferred over to the Plaintiffs, at their commission rate of 85%.
  - c. Next, Mr. Vasquez stated that the Plug Number in the stated range was just "a lot of money", which led to continued negotiations, to be paid on a tier structure, i.e., first \$100,000 at x %, then second \$100,000 at y %, etc.
  - d. In lieu of any tier arrangement, it was finally decided and agreed that the house accounts would be transferred over to the Plaintiffs, on a straight compromised 60% commission payout, with the accounts assigned to a new joint production number for both Joseph and Charles, with those house accounts' statements generated and provided to the Plaintiffs, for possible future production (and transfer away from the 60% house arrangement to the 85% personal production arrangement), and for verification of the underlying investments. That 60% payout on all house accounts would generate an approximate \$200,000 annual stream to the Plaintiffs.

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### **Complaint**

12. The actual sale negotiations were put on hold until the Plug Number, and compensation on the house accounts, was completed. It was only after Mr. Vasquez, with all the appropriate authority on behalf of the Defendants, agreed to provide 60% compensation on all house accounts and the Plug Number, generating approximately \$200,000 annually to the Plaintiffs, with full backup documentation, did the sale transaction continue.
13. Based on the Defendants' representations that they would provide the Plaintiffs with the Plug Number revenue as well as the account statements and supporting documentation thereon, the Plaintiffs agreed to execute the Asset Purchase Agreement, with the verbal agreement relating to the Plug Number and the house accounts.
14. The Defendants agreed that in lieu of those accounts being specifically transferred to either Joseph Musumeci's or Charles Musumeci's individual production numbers, at 85% payout, the accounts were to be transferred to a joint production number with the Plaintiffs receiving 60% of all house accounts, and the statements and documentation so they could review the positions and service the clients and their accordingly.
15. As the Plug Number was uniformly around \$300,000 to \$450,000, the 60% annual payment to the Plaintiffs was to be about \$200,000.
16. For the period January 1, 2005 through September 30, 2005, the three quarters immediately prior to the sale, the aggregate income was \$10,826,567.40, consisting of \$9,642,051.60 in mutual fund subscription income and \$1,186,515.80 in brokerage income.
17. For that same period, the allocated commission for all active representatives was \$10,488,352.13.

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18. The difference between the aggregate income of \$10,826,567.40 and the allocated broker commissions of \$10,488,352.13 is the Plug Number for that period - \$340,215.27, or approximately \$453,620.36 annually.
19. The verification of the income numbers and Plug Number, reflected on a spread sheet entitled "CJM Planning P/L", which was used for purchase valuation purposes by the Defendant, is attached as Exhibit "C". The verification of the commission number reflected on a spread sheet entitled "C.J.M. Planning Corp. – Sales Report – Calendar Year – Active Broker-Dealer Reps", also provided to the Defendants who used it their purchase calculation, attached as Exhibit "D", on which the Plug Number is also discussed at footnote 5 – **"The Broker-Dealer has production revenues which does not flow through the system for this report. These revenues include 1) Trails not paid to RR's due to the rep not hitting the CJM threshold, 2) Orphan accounts that were never moved over to house which includes trails and production, 3) No production or trails paid for Joseph or Charles Musumeci"**. (emphasis added)
20. The closing took place on October 24, 2005. Genworth absorbed CJM, including all client records and computer files, and CJM's computer mainframe with all backup. Accordingly, the Plaintiffs can not recreate the house accounts or their underlying positions, or the unassigned trails.
21. As of that date, according to Genworth's records, there were 5,860 client accounts associated with 526 terminated brokers and 512 client accounts labeled as pure house accounts, for a total of 6,372 accounts, which would pay the Plaintiffs commission on all new business and trails.
22. For the next several months, the Plaintiffs inquired about receipt of the Plug Number revenue, and account statements. They were repeatedly informed of (sale) transition problems, and for the Plaintiffs not to worry as the issue would be corrected and addressed.



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23. In February 2006, the Plaintiffs were provided a preliminary report, which report lacked any detail of the underling clients' investments, for review or verification, and which contained far fewer than the original list of such customers provided to Genworth.
24. The Plaintiffs continued to make inquiry and were rebuffed.
25. In March 2006, the Plaintiffs were provided an additional, corrected report, which report again lacked any detail of the underling clients' investments, for review or verification, but which contained some additional accounts added by Genworth, with an acknowledgement of its mistake, but still far fewer revenue than the list of such customers provided to Genworth. [Attached as Exhibit "E" is an email from Jim Kunci at Genworth dated March 8, 2006 referencing those reports.]
26. The Plaintiffs continued to make inquiry and were rebuffed at every occasion, including the Defendants even asking the Plaintiffs for a list of said customers, to which the Plaintiffs could not address since at the time of sale Genworth took control and custody of all client documents and information, including computer files.
27. At about this time, Mr. Vasquez had a heart attack, and all attempts with mid/ lower management to obtain proper payments, or even records or reports evidencing same, stopped. Dialogue was renewed upon Mr. Vasquez' return back to Genworth sometime after September 2006.
28. In late September 2006, almost a year after their verbal contract, and the conversion of the files and accounts to the Defendants, the Defendants added additional terms to the agreement, including executed representative agreements, and state registration(s). While the Plaintiffs had no issue with compliance of the requests, the terms had not previously been raised.
29. On November 10, 2006, the Plaintiffs executed and returned the requested Sales Representative Agreements. Again, the Plaintiffs had no way to verify the accuracy of



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Defendants' representations, and Defendants would not even provide access to CJM's old computer mainframe for assistance and verification, even though the Defendants were not using it.

30. The first payment, which was substantially below the contracted payment, was received in January 2007.

31. In April 2007, Charles Musumeci transferred his ownership of the revenue, visa-a-via, the underling clients, to Joseph Musumeci, who therefore assumed the 60% commission owed on each client, and again requested the commission runs/ statements and reconciliations. [Attached as Exhibit "F" is an email dated March 22, 2007 from Jon Rothenberg at Genworth, and an April 19, 2007 letter from Joseph Musumeci back to Mr. Rothenberg.]

32. Through May 2008, the Plaintiffs continued to request correct payment, as well as the records in the underlying customers and investments. [Attached as Exhibit "G" is an email dated May 23, 2008 from Jackie Azcurra to Jon Rothenberg; and collectively as Exhibit "H" is a stream of emails starting with a June 20, 2008 (9:08 am) email from Ms. Azcurra to Darryl Ronconi at Genworth, and its reply dated June 25, 2008 (12:21 pm), its follow-up email from Ms. Azcurra dated July 1, 2008 (10:08 am) and a memorandum email of a conversation on that same day (10:55 am) with its response dated July 2, 2008 (12:42 pm).]

33. Backup has never been provided. Access to the clients' accounts has never been provided.

34. Defendants have never produced any accounting of the customers' investments in those accounts, mutual fund trails, or any other account statement or document that would assist the Plaintiffs in verifying the data received.

35. The agreed revenue was never produced.

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### VENUE

36. Venue in Passaic County is proper pursuant to R. 4:3-2 (a)(3), which states, in pertinent part, that the venue shall be laid in the county in which the cause of action arose.

37. As this action is breach of the oral agreement, made by the Defendants at the time of the sale of CJM and its Affiliates in October 2005, to provide an annual "Plug Number", being CJM's unallocated production revenue, which issue was not discussed or addressed in the Asset Purchase Agreement, and does not relate to commission *per se* to either Plaintiff, this action is appropriate in Passaic County.

### First Cause of Action/ Breach of Contract

38. Plaintiffs repeat and reallege each of the above allegations, as if set forth herein at length.

39. Defendants breached the contract they had with the Plaintiffs, to provide not only the annual revenue, but also to provide backup documentation and statements.

40. That breach has caused and continues to cause loss, and has prevented gain, and thus the Defendants are liable to the Plaintiffs for nominal and consequential damages.

**WHEREFORE**, the Plaintiffs demand judgment against the Defendants as delineated below.

### Second Cause of Action/ Breach of Fiduciary Duty

41. Plaintiffs repeat and reallege each of the above allegations, as if set forth herein at length.

42. The Defendants misappropriated from the Plaintiffs the customer base and customer accounts.

43. While the Defendants maintained ownership of those accounts, they had a duty to protect the revenue stream to the Plaintiffs.

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44. They had a duty to maintain the documentation and statements supporting the revenue stream, and provide same to the Plaintiffs.

45. Like a trustee, the Defendants are held to rigorous duties of loyalty and care; they must avoid acts that put their interests in conflict with their beneficiary's; they must exercise their duties with the utmost good faith and integrity; and must employ such skill and judgment as might reasonably be expected of persons similarly situated.

46. The Defendants occupied the position of a fiduciary; they breached their fiduciary duty to the Plaintiffs by engaging in the conduct discussed above.

**WHEREFORE**, the Plaintiffs demand judgment against the Defendants as delineated below.

**Third Cause of Action/ Business Intentionally Interfered With by Defendants**

47. Plaintiffs repeat and reallege each of the above allegations, as if set forth herein at length.

48. Since Defendants have failed to provide any account documentation or account statements, of the underlying customers, without justification or cause, they have interfered with the Plaintiffs' ability to service those accounts and thus interfered with the Plaintiffs' pursuit of a prospective economic and contractual business relationship and thus Defendants should be liable for that interference.

**WHEREFORE**, the Plaintiffs demand judgment against the Defendants as delineated below.

**Fourth Cause of Action/ Business Partner Breaching Fiduciary Duty**

49. Plaintiffs repeat and reallege each of the above allegations, as if set forth herein at length.

50. Defendants created a business arrangement that was essentially permanent in nature so that there was created a mutual agency in order to partake a general business transaction, where the partner Defendants had a duty pursuant to that arrangement to the Plaintiffs, of a duty of trust, a duty of loyalty, a duty of good faith, and a duty to share with the partner Plaintiffs all documentation and revenue from and relating to that business arrangement,

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which duty the Defendants breached and thus should be liable for damages to the Plaintiffs.

**WHEREFORE**, the Plaintiffs demand judgment against the Defendants as delineated below.

**Fifth Cause of Action/ Negligence**

51. Plaintiffs repeat and reallege each of the above allegations, as if set forth herein at length.

52. By engaging in the activity addressed above, including the failure to exercise due care and diligence in maintaining the account documentation and statements, as well as the revenue, the Defendants were negligent, and are liable to the Plaintiffs.

**WHEREFORE**, the Plaintiffs demand judgment against the Defendants as delineated below.

**Sixth Cause of Action New Jersey's RICO Statute**

53. Plaintiffs repeat and reallege each of the above allegations, as if set forth herein at length.

54. By engaging in the activity described above with respect to repeated and related actions of misrepresentation(s) to the Plaintiffs, the Defendants are persons and enterprises, engaged in an a pattern of racketeering activity.

55. By engaging in the activity described above, of the pattern of failing to provide supporting documentation, of not providing the Plaintiffs do and owed sum(s), the Defendants engaged in an enterprise and pattern of racketeering activity.

56. Defendants are therefore liable to the Plaintiffs, under N.J.S.A. §2C:41-1, et. seq.

**WHEREFORE**, the Plaintiffs demand judgment against the Defendants as delineated below.

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### Relief Sought

The Plaintiffs respectfully requests the following:

- A. Accounting of all house accounts and Plug Number accounts; and
- B. Supporting documentation of all such accounts, including new account documentation and account statements; and
- C. Awarding of compensatory damages; and
- D. Net present value as of the date of contract of the Plug Numbers; and
- E. Statutory interest on all sums provided; and
- F. Awarding of treble damages, due to Defendants' egregious conduct<sup>5</sup>; and
- G. Awarding of attorneys' fees<sup>6</sup>, filing fees, and costs of suit; and
- H. Any such other and further relief as is deemed appropriate and just by this Court.

Richard Daniel De Vita, Esq.  
Counsel to Plaintiffs  
1228 Garden Street  
Hoboken, New Jersey 07030  
(201) 714-7623

By: 

Richard De Vita

Dated: March 9, 2010

<sup>5</sup> Anyone committing a tort against another is liable for reasonable and justifiable damages, provided the harm suffered was the result of the defendant's acts or omissions, and such acts or omissions were actuated by malice or accompanied by a wanton and willful disregard of persons who foreseeable might be harmed by those acts or omissions, and compensatory damages have already been awarded, but punitive damages shall not be greater than \$350,000 or 5 times compensatory damages, and the wrongdoer's employer is vicariously liable for the punitive damages either if the employer specifically authorized, participated in, or ratified the wrongful act.

<sup>6</sup> Plaintiffs are entitled to attorney fees. In re Estate of Lash, 169 N.J. 20, 26-27 (2001), and Pressler, Current N.J. Court Rules, comment 2.10 on R. 4:42-9 (2000). Those fees are merely a portion of the damages the plaintiff suffered at the hands of the tortfeasor.

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**Rule 4: 5-1(b)(2) Certification**

The undersigned, attorney for the Plaintiffs, certifies that, to the best of his knowledge and belief, the matter in controversy is not the subject of any other action or arbitration proceeding, and that no other action or arbitration proceeding is contemplated. The undersigned further certifies that, to the best of my knowledge and belief, as of this point in time, no other party should be joined in the within action.

**Rule 4: 5-1(c) Trial Counsel Designation**

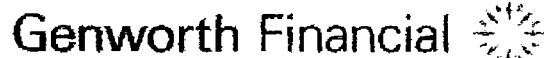
The undersigned, an attorney-at-law in the State of New Jersey and a member of the New Jersey State Bar Association, is hereby designated as trial counsel.

**Verification**

I, Richard Daniel De Vita, Esq., of DeVita & Associates, located at 1228 Garden Street, Hoboken, New Jersey 07030, do hereby certify that the facts contained in the foregoing Complaint are true. I further certify that I believe that the allegations set forth to be true. I am aware that should any of the foregoing be willfully false, I am subject to punishment.

By: \_\_\_\_\_

  
Richard D. De Vita



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## Press Release

### **Genworth Financial Strengthens Financial Planning Unit Through Acquisition**

RICHMOND, Va., Oct. 25 /PRNewswire-FirstCall/ -- Genworth Financial, Inc. (NYSE: GNW) announced today the addition of more than 500 registered representatives to its Genworth Financial Investment Services unit through a transaction with C.J.M. Planning Corp., a New Jersey-based firm. Terms of the deal were not disclosed.

"We are committed to growing our financial planning and fee-based business in a very focused and strategic way," said Pam Schutz, president of Retirement Income and Investments for Genworth. "While we continue to grow our network of independent financial professionals consistently through referrals, the addition of this group increases our representative base by 25 percent, to a total of more than 2,400, and significantly expands our reach."

"C.J.M.'s representatives, many of whom are accountants and/or tax professionals, share the same approach to servicing clients and an entrepreneurial spirit that fits well with our organization and its growth plans," said Enrique Vasquez, head of Genworth's investment services group. "We are very pleased to welcome them."

C.J.M. was founded in 1971 by S. Charles Musumeci, Sr. The firm, under sons S. Charles Musumeci, Jr. and Joseph C. Musumeci, focused on helping people meet their most basic financial needs including retirement planning, funding children's educations, and achieving financial independence.

Genworth Financial Investment Services is a wholly-owned subsidiary of Genworth Financial, Inc., that is comprised of a full service broker/dealer, registered investment adviser and licensed insurance agency, with more than 2,400 representatives servicing tens of thousands of clients across the country. The organization was founded in 1981 to assist accountants in adding financial services to their practices and was acquired by Genworth in 1998.

Genworth Financial, Inc. (NYSE: GNW) is a leading insurance holding company, serving the lifestyle protection, retirement income, investment and mortgage needs of more than 15 million customers, with operations in 24 countries,

Genworth Financial - Investor Relations - Press Release

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including the U.S., Canada, Australia, the U.K. and more than a dozen other European countries. For more information, visit <http://www.genworth.com>.

SOURCE Genworth Financial, Inc.

CONTACT: Anna Gauthier of Genworth Financial, Inc., +1-804-289-3740 or [anna.gauthier@genworth.com](mailto:anna.gauthier@genworth.com)



## 3RD QUARTER 2005 UNPAID TRAILS

FUND COMPANYAMOUNT

AIM	\$11,071.43
ALGER	\$7.61
ALLIANCE BERNSTEIN	\$1,561.09
ALLIANZ PIMCO	\$52.62
AMERICAN SKANDIA FUNDS	\$368.63
AMERICAN SKANDIA VA	\$764.81
BLACK ROCK	\$56.47
CALVERT	\$52.03
COLUMBIA FUNDS	\$70.07
DAVIS SELECT ADVISORS	\$40.58
DELAWARE	\$9.71
DREYFUS FUNDS	\$44.41
DUNHAM	\$28.20
EATON VANCE	\$63.14
ENTERPRISE FUNDS	\$68.53
FIDELITY ADVISOR	\$1,029.17
FIDELITY DESTINY	\$187.72
FIRST EAGLE	\$85.26
FIRST INVESTORS	\$17.60
GUARDIAN FUNDS	\$50.25
HARTFORD LIFE	\$509.94
IDEX MUTUAL FUNDS	\$183.92
ING FUNDS	\$23.33
ING/RELIASTAR	\$2.50
INTEGRITY LIFE	\$1,102.11
IXIS ADVISOR FUNDS	\$18.81
J/H FREEDOM 529	\$0.34
JACKSON NATIONAL	\$385.89
JOHN HANCOCK FUNDS	\$276.89
JOHN HANCOCK VA	\$221.93
JP MORGAN	\$11.11
KEMPER INVESTORS LIFE	\$1.93
MAINSTAY INVESTMENTS	\$89.88
MASS MUTUAL	\$17.67
MFS FUNDS	\$5,898.43
NATIONWIDE QUAL. PLANS	\$237.59
NUVEEN	\$26.64
NY ADVISOR 529 PLAN	\$145.13
OPPENHEIMER	\$30,834.97
PHOENIX EQUITY	\$44.89
PIONEER	\$1,436.62
PRUDENTIAL	\$4.30
PUTNAM	\$2,396.70
SCHOLARS EDGE 529	\$204.74
SCUDDER KEMPER	\$494.03

SELIGMAN		\$1,274.03
SUN AMERICA FUNDS		\$2.79
SUN LIFE FINANCIAL		\$7.92
TIMOTHY PARTNERS		\$0.62
US ALLIANZ		\$1,993.05
WADDELL & REED		\$6.43
WELLS FARGO ADV FUNDS		\$27.26
WM FUNDS		\$4.74
TOTAL		\$63,516.46

CJM Planning P&L  
01/01/05 to 09/30/05

INCOME

4000 Subscr. MF Income	3,824,587.08
4000.1 12b-1 Income	3,123,022.11
4000.2 Variable Annuity Income	2,400,211.52
4000.3 Fixed Annuity Income	95,304.76
4000.4 REIT Income	55,747.48
4000.5 529 Plan-Municipal Income	143,178.65

TOTAL 4000 Subscr. MF Income	9,642,051.60
4000.1 Brokerage MF Income	507,516.48
4000 12b-1 Income	678,273.42
4000.0 Cert Dep	725.9

TOTAL 4000.1 Brokerage MF Income	1,186,515.80	\$10,828,567.40
4001 Marketing Income	127,787.58	\$10,488,352.13
Client Marketing System	13,499.29	

\$340,215.27

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TOTAL 4001 Marketing Income	141,286.87
4001.1 VUL Income	16,561.97
4002 Equity Income	106,942.58
4010 Dividend Income	12,415.59
4011 Leased Employee	171,283.80
4015 Gain Losses on errors	-5,281.19
4016 Unrealized Gain Loss on Equities	1,700.00
4020 License & EO Premium	68,735.58

TOTAL INCOME	11,342,212.60
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EXPENSES

Uncategorized	0
6000 Wages	
6002 General Payroll	1,518,244.06
6170 Payroll Taxes	
6180 Fica Taxes	125,292.22
6190 FUTA Tax	556.47

TOTAL 6170 Payroll Taxes	125,848.69
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TOTAL 6000 Wages	1,644,092.75
6001 Commissions	
6010 Commissions	8,299,285.23

TOTAL 6001 Commissions	8,299,285.23
6008 Paychex	13,174.00
6009 Rep & Mnt	6,381.86
6020 Office Exp	3,905.07
6020 Office	24,200.47
6021 Book Newsletter Printing	10,375.56
6022 Software & Mnt	27,664.43
6022 Supplies	49,020.23
6022.1 E-Statements	18,345.76
6023 National Conf.	25,824.65
6027 Color Bus Cards	3,632.53
6039 Re-Imburse Office	-29,638.41
6040 - American Express	182,157.67

TOTAL 6020 Office Exp	315,487.96
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6030 Car & Truck	29,551.34
6030.1 Auto Allow Recr.	20,157.66
<hr/>	
TOTAL 6030 Car & Truck	49,709.00
6035 Rep & Maint	2,092.65
6036 Postage	
6040 Postage	17,476.24
6041 UPS Fed Ex	25,539.36
6042 Pitney Bowes Lease	17,605.00
6043 Re-Imburse Postage	-11,150.87
<hr/>	
TOTAL 6036 Postage	49,469.73
6060 License & Assess. Fees	68,693.35
Conference and Educational Fees	100
<hr/>	
TOTAL 6060 License & Assess. Fees	68,793.35
6070 Rent	127,400.00
6085 Telephones	
6086 Bell Atlantic	3,143.02
2 201 V20-4705-509	5,036.75
2.1 00075682501 38Y-973-492-6376	21,799.64
6 973 616-4110 - Tri	1,147.87
7 973 831-8020 - CJM	12,343.29
9.5 973 248-9881 Passaic County	156.15
9.6 973 831-1103-Elev 200 Wanaque	156.08
9.7 973 616-1749	249.77
9.8 973 835-6586-ISDN Backup	469.36
<hr/>	
TOTAL 6086 Bell Atlantic	44,501.93
6087 Mobile Phones	25,269.43
6089.1 Nextel	3,413.98
6089.3 Internet User	11,143.44
6090 Reimb. Telephone	-35,550.89
<hr/>	
TOTAL 6085 Telephones	48,777.89
6090 Advertising	13,809.73
6100-Insurance	
6105 Fidelity Bond	30,018.00
6106 Workman's Comp	4,950.00
6107 General Ins	226,442.15
6109 Private Disability	1,556.70
6110 Group Term Life	6,712.34
6111 Voluntary Life Dental	-4,274.84
6129 Reimburse Insurance	-142,141.51
<hr/>	
TOTAL 6100-Insurance	123,262.84

6120 Recruiting	2,250.00
6020.6 Expense Reimb.	27,019.54
6024 Brochures Mailings	13,990.36
6026 Accounting Shows	397.87
	-----
TOTAL 6120 Recruiting	43,657.77
6140 Sales Meetings	-3,568.23
6200 Corp. Taxes	
6220 NJ Corp Tax	18,346.00
6230 KY Corp Tax	15
6246 NY Corp Tax	725
	-----
TOTAL 6200 Corp. Taxes	19,086.00
6250 Accounting and Legal	272,225.94
6260.0 Copiers	
6260 Copier Lease	43,178.42
6261 Copier Usage	4,617.18
6262 Re-Imburse Copier Exp	-22,110.54
	-----
TOTAL 6260.0 Copiers	25,685.06
6279 Pershing Charges	30,798.05
6271 NYSE ILX Fees	2,226.00
6272 AMEX ILX Fees	1,526.00
6272.1 Options ILX Fees	1,741.50
6279.1 ILX Costs	28,008.61
	-----
TOTAL 6279 Pershing Charges	64,300.16
6280 Marketing	7,400.00
6300 Software updates	9,605.63
6309 Web Site Maint.	
6310 Amicus	28,312.94
	-----
TOTAL 6309 Web Site Maint.	28,312.94
6330 Computers	4,395.82
6260 Data Protection	13,715.00
6267 Infinity Info Systems	18,474.66
6340 Computer Maint	51,350.09
6340.2 Computer Reimb.	-48,714.68
	-----
TOTAL 6330 Computers	39,220.89
6370 Bank Charges	3,405.67
6400 Depreciation	1,812.00
	-----
TOTAL EXPENSES	11,272,880.82
	-----
OVERALL TOTAL	69,331.78

CJM Insurance Brokerage P&L  
1/1/2005 ti 09/30/05

INCOME

Income	
Bonus	85,155.20
CJM Ins Brokerage	1,379,182.40
VUL Transfer	16,241.07
	-----
TOTAL CJM Ins Brokerage	1,395,423.47
Musumeci Agency	3,368.35
School Revenue	11,240.00
	-----
TOTAL Income	1,495,187.02
	-----
TOTAL INCOME	1,495,187.02

EXPENSES

Uncategorized	0
Accounting	4,500.00
Auto	
Car Allowance	1,800.00
	-----
TOTAL Auto	1,800.00
Commissions	1,179,104.57
Computer Maint	7,914.31
Conference Expenses	-3,000.00
Continuing Ed Fees	3,160.00
Copier Lease & Usage	5,202.42
Insurance	
Bonds	100
Health Insurance	12,161.84
Workmans Comp	357.28
	-----
TOTAL Insurance	12,619.12
Leased Employees	161,145.50
Simple IRA Employer Contribution	600
	-----
TOTAL Leased Employees	161,745.50

Legal	1,146.43
Licensing Fees	7,912.00
Office	8,469.51
Amicus	4,194.09
Expense reimb.	112.25
	-----
TOTAL Office	12,775.85
Postage	4,882.72
UPS	8,391.04
	-----
TOTAL Postage	13,273.76
Programs	1,153.41
Rent	25,200.00
Schooling Education	3,825.00
Seminar expenses	3,392.07
	-----
TOTAL Schooling Education	7,217.07
Travel	1,676.52
Underwriting Fees	0
Utilities	
Internet User	2,790.00
Telephone	9,613.37
	-----
TOTAL Utilities	12,403.37
	-----
TOTAL EXPENSES	1,455,804.33
	-----
OVERALL TOTAL	39,382.69

CJM Asset Management P&L  
01/01/05 to 09/30/05

## INCOME

Dividend Income	341.14
Income	
AssetMark	247,429.29
Flexible Plan Invest	299.45
Hanlon Investments	441,332.06
LWI Financial	21,356.78
Mass Mutual	795.88
Neuberger Berman	2,301.46
NWI	4.95
Pershing	213,722.28
PFPC	4,612.71
Portfolio Strategies	7,678.57
Righttime	3,005.46
SEI	13,713.12
Toews	33,631.77
US Bank	1,694.56
Wachovia	10,500.56

TOTAL Income	1,002,078.90
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TOTAL INCOME	1,002,420.04
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## EXPENSES

Uncategorized	0
Commissions	796,850.37
Legal & Accounting	4,750.00
License Fees	880
Office	304.96
Pershing Charges	305.2
Rent	27,000.00
Tax	50

TOTAL EXPENSES	830,140.53
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OVERALL TOTAL	172,279.51
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## C.J.M. Planning Corp. - Sales Report - Calendar Year - Active Broker-Dealer Reps

REPID	Frame	Lname	Address	Address2	Address3	City	State	Zipcode	Phone	U-5	% Payout	NASD LIC	Gross Comm
000485	Paul	Abrams	18 East Madison Ave			Cresskill	NJ	07626	201567188	80.00	6.63		\$115,239.15
001331	Martin	Ackerman	10 East Main Street		Suite 6	Freehold	NJ	07728	7327801036	70.00	6.63		\$551.77
002244	Edward	Adams	Pc 34 W. Lafayette			Trenton	NJ	08608	6093924944	70.00	63.7		\$11,600.95
000122	Felix	Addeo	333 Washington Street			Jersey City	NJ	07302	2012001400	50.00	6		\$845.87
001338	Fred	Adelman	29 Lockley Court			Mountain Lakes	NJ	07046	9734021008	70.00	6.22,63		\$1,050.00
002229	Marino	Agnic	29 4Th Avenue			Haskell	NJ	07420	9738095853	70.00	7.63,65		\$1,210.00
000457	Michael	Agus	4 Andrew Court			Florida	NY	10921	9456510490	50.00	6.63,7,24		\$4,681.96
000907	Silvestre	Agus	11166 Bridgefield Ct			Riverside	CA	92505	9513529425	70.00	6.63		\$673.76
001852	Henry	Alava	15610 Walden Avenue			Tampa	FL	33618	8139628933	75.00	6		\$13,290.65
002028	Mark	Alexander	47 Bridge Street			Metuchen	NJ	08840	7324942030	70.00	6.63		\$20,504.50
001370	Ralph	Amlano	7 Samuel Drive			Flemington	NJ	08822	9089640220	70.00	6		\$7,092.77
002364	Fozia	Andarge	Fm Financial Services Inc.		1510 E. C	Orlando	FL	32803	4078959545	70.00	7		\$15,621.90
000178	Christopher	Angotti	1321 Lincoln Avenue		Suite 700	Pompton Lakes	NJ	07442	9734874667	65.00	6		\$3,245.18
002141	Stuart	Appelson	240 West 35Th Street			New York	NY	10001	2128683750	0.00	27		\$24,944.64
000094	Roger	Appleton	304 Devonshire Drive			Stroudsburg	PA	18360	5706209272	70.00	6		\$4,960.61
002268	Craig	Aniano	84-38 108Th Street			Richmond Hill	NY	11418	2128358532	70.00	6.63		\$41,629.41
000641	Frank	Arnold	1017 Central Parkway North		Suite 100	San Antonio	TX	78232	2103401040	70.00	6.63		\$1,422.12
002143	William	Arnold	6040 North 7th St.		Suite 100	Scottsdale	AZ	85014	6022741841	75.00	6.63		\$19,054.19
002175	William	Arnold	6040 North 7th Street		Suite 100	Phoenix	AZ	85014	6022741841	75.00	7.63		\$23,508.77
002030	John	Anvanites	7 Cleveland Street			Caldwell	NJ	07006	9732269575	70.00	6		\$68,643.29
001992	Matthew	Azares	17 Hanover Road #120			Florham Park	NJ	07932	9738228255	75.00	6.65,7.63		\$507.12
001822	Debra	Bachleda	8507 Brixton St.			San Antonio	TX	78254	2108818283	45.00	6.63		\$2,816.87
000561	Clyde	Bailey	10924 Vance Jackson #404			San Antonio	TX	78254	2106991287	60.00	6.63		\$23,690.01
002254	Clive	Bailey	22051 Us Highway 19 North			Clearwater	FL	33765	7277265157	70.00	7.24		\$5,504.57
002408	Brett	Bailey	1327 Baltimore Street			Hanover	PA	17331	7176303178	55.00	6.63		\$88,279.78
000737	Sigmund	Balaban	10 Grecian Street			Pasippany	NJ	07054	9733350945	80.00	6.63,65		\$14,076.29
002041	Paul	Batascki	4410 Spruce Street		Suite 11-	Whitehall	PA	18052	6102629710	70.00	7.63		\$22,647.43
001397	Joseph	Baratz	141 E. 56Th Street			New York	NY	10022	2128882010	80.00	6.62,63,7,24,65		\$228.00
000569	Anthony	Barbera	70 Floral Ave			Murray Hill	NJ	07974	9084645747	80.00	6,7,24		\$19,218.77
000810	Arthur	Barbera	70 Floral Ave			Murray Hill	NJ	07974	9084645747	70.00	6		\$24,678.48
002223	Bruce	Barker	29 Lee Road			Lincoln	ME	04457	2077948563	50.00	6.63		\$5,114.71
001646	Clifton	Barkley	1704 West 6 Th Street			Austin	TX	78703	5124724095	50.00	6		\$3,550.36
000997	David	Barrett	925 Garrison Ave.			Teaneck	NJ	07666	2017121247	75.00	6.63		\$24,298.82
000209	Frank	Basile	12 Ceila Ave.			Stanhope	NJ	07874	9736013586	50.00	6		\$73,425.09
001527	Salvatore	Battiato	51 Union Street			New Rochelle	NY	10801	9146362414	70.00	6.63		\$79,190.63
000914	Lorraine	Bauer	59 Willow Way			Wanaque	NJ	07465	9738931506	50.00	6		\$71,779.48
002160	James	Bauer	1704 Ridge Street			Sebring	FL	33870	8633820037	75.00	6,7		\$15,895.43
002355	Lori	Bayba	33 Hamilton Drive			Spotswood	NJ	08884	7327230771	85.00	6.63		\$5,737.03
002357	William	Bayba Jr.	1573 Central Avenue		1573 Cei	Albany	NY	12205	5184520866	85.00	7,24,63		\$15,343.37
002356	William	Bayba Sr.	Wm Z Bayba Associates, Inc.			Albany	NY	12205	5184520866	85.00	7,24,63		\$296.57
001943	Richard	Beam	788 Bloomfield Ave.			Verona	NJ	07044	2017810021	70.00	6		\$6,799.33
000392	Harry	Becker	9-01 Essex Place			Fair Lawn	NJ	07410	9732289669	70.00	6,7,63		\$38,512.88
002340	James	Beljovich	7479 Pine Lakes Blvd.			Port St. Lucie	FL	34952	7723447273	70.00	6		\$12,399.98
002159	Walter	Benicewicz	3460 Ellicott Center Drive		Suite 202	Ellicott City	MD	21043	4104613110	70.00	6		\$9,951.02
002089	Kevin	Bent	Patrick And Kevin Bent		354 Rl. 4 Suite 2A	Hackettstown	NJ	07840	9086848300	70.00	6		\$35,536.48
002439	Mark	Bentivigna	15 Hickory Road			Denville	NJ	07728	9736277943	70.00	6.63		\$4,523.68
001344	Stephen	Berger	92 West Main Street			Freehold	NJ	07652	2015990820	70.00	6.63		\$7,401.41
001644	Stephen	Berlino	106 East Ridgewood Ave		54 Main :	Succasunna	NJ	07878	9735841232	70.00	7.63,65		\$6,068.43
002444	Anthony	Bertangieri	Accountancy Consultants			Wayne	PA	07470	9736869001	70.00	6.63		
001857	Marvin	Berman	134 Andover Drive		Suite 101	Greensburg	PA	15601	7248538536	80.00	6,7,24,65,63		
002320	John	Bertolino	585 Rugh Street			Clearwater	FL	33759	7277913661	70.00	6,7		
002184	Catherine	Binder	2705 Sunset Point Road			Clifton	NJ	07013	9734721707	60.00	7.63		
000678	Joseph	Blond	126 Oak Ridge Road			Clifton	NJ	07013	9734721707	60.00	7.63		
001858	Peter	Brong	1045 Park Street		Suite 100	Peekskill	NY	10566	9147373851	75.00	6.63		

Sept 30  
2005 YTD

## C.J.M. Planning Corp. - Sales Report - Calendar Year - Active Broker-Dealer Reps

REP ID	Name	Leanne	Address	Address2	Address3	City	State	Zipcode	Phone	U-5	% Payout	NASD LIC	Gross Comm
002014	Toby	Blair Cohen	117 Cypress Street			Millburn	NJ	07041	9737620362		70.00	6,63	\$1,720.95
001060	Robert	Blum	405 Front Street			Belvidere	NJ	07823	9084753181		65.00	6,63	\$6,410.99
001866	James	Bocchino	26 andover road			Newton	NJ	07860	9739483999	X	70.00	6	\$513.50
000100	Lawrence	Bodine	1987 Lufberry Street			Rahway	NJ	07065	7323887081		70.00	6	\$2,653.40
000832	Matthew	Bogan	941 Blue Hill Terrace			Franklin Lakes	NJ	07417	97338318020		50.00	6,74,63	\$11,509.28
000644	James	Bohan	1202 Pat Booker			Universal City	TX	78148	2106589844		55.00	6,63	\$5,699.18
001170	Jessie	Bonaparte	11 Old Broadway Apt #2C			New York City	NY	10027	2126651520		60.00	6,63,7,65	\$3,527.58
001246	Michael	Borchetta	686 Stoneleigh Avenue		Suite 2	Carmel	NY	10512	8452792286		75.00	6,63	\$3,541.29
002401	Marcia	Borkowsky	138 High Point Circle			Newburgh	NY	12550	8454520494		70.00	6,63	\$1,260.90
002031	Kathryn	Bowman	Po Box 214		371 W Li	Myerstown	PA	17067	7178666151		70.00	6,63	\$779.82
001959	Ronald	Bratek	1572 Route 130			North Brunswick	NJ	08902	7322974510		70.00	7,63	\$9,982.85
001899	Louis	Brescia	13 Wheeler Ave			Warwick	NY	10990	8459871155		75.00	6	\$20,065.42
001744	Richard	Brooks	9 Lincoln Ave		2Nd Floo	Rutherford	NJ	07070	2019353888		80.00	7,63,65	\$60,267.80
001701	Robert	Bruno	277 Fairfield Road		Suite 207	Fairfield	NJ	07004	9738081100		70.00	6,63,65	\$10,258.47
000084	Edward	Bullock	344 Warren Street			Philipsburg	NJ	08865	9084544035		80.00	7,63	\$39,249.74
001825	Jay	Burgman	7049 Stump Road			Pipersville	PA	18947	2158136279		80.00	6,63	\$1,344.80
000044	Thomas	Burke	201 West Passaic Street		Suite 202	Rochelle Park	NJ	07662	2018457001		70.00	6,63	\$22,070.31
002165	John	Burke	12 Hilda Drive			Mahopac	NY	10541	9147936800		70.00	6,63	\$144,870.44
002330	Scott	Butler	23 Hollywood Blvd. Suite IV			Forked River	NJ	08731	6096938181		70.00	6,63	\$7,963.51
002105	Richard	Butt	328 S. Falkenberg Rd			Tampa	FL	33619	8136547650		75.00	6,63	\$2,158.00
002044	Bruce	Buizel	252 Kinderkamack Road			Oradell	NJ	07649	2012615577		85.00	6,22,63	\$936.24
002366	David	Byrnes	327 Irving Ave			Port Chester	NY	10573	9149348489		70.00	6,63	\$14,524.63
002335	Allen	Caan	19-62 Chandler Drive			Fairlawn	NJ	07410	201967758		70.00	7,63	\$3,773.61
000787	Diane	Cahill	65 Lakeridge Dr.			Matawan	NJ	07747	7325833898		85.00	6,63	\$21,048.98
001049	Robert	Calantone	170 Kinnelon Road		Suite 30	Kinnelon	NJ	07405	9734925566		70.00	6,63	\$2,911.61
000847	Gladys	Calteries	1205 Summit Ave.			Union City	NJ	07087	2013480934		70.00	6,63	\$7,073.65
002133	Mario	Califano	282 Nelson Ave.		Suite 217	Staten Island	NY	10308	7183564379		70.00	6,63	\$12,597.64
001561	David	Calio	210 Summit Ave.		Suite 207	Montvale	NJ	07645	2018020022		80.00	7,63,66	\$630.49
0001700	Gregory	Calotta	277 Fairfield Road			Fairfield	NJ	07004	9738081100		70.00	6,7,24	\$744.09
000856	William	Cammarola	57 Graham Avenue			No. Haledon	NJ	07730	9736289839		50.00	6	\$198,885.10
000984	Gino	Cammarola	35 Angela Circle			Hazlet	NJ	07508	2014279637		87.50	6,63,7,24	\$59,394.95
000137	Frank	Cangelosi	85 Tamboer Drive			N. Haledon	NJ	07508	9734272555		80.00	6	\$584.56
001015	Orlando	Cardaci	37 Edison Place			North Haledon	NJ	07480	9737283468		55.00	6	\$17,289.92
000435	Thomas	Cardaci	43 Adelaide Terr.			W. Milford	NJ	07603	2013420109		70.00	6,63,7,65	\$44,822.99
000829	Mark	Carruthers	369 River Road			Bogota	NY	10923	8454298248		77.00	6,63	\$5,112.15
001435	Domenica	Caruso	8 Malone Avenue			Garnerville	NY	10532	9147470961		70.00	6,63	\$7,492.41
001537	Thomas	Casio	171 Benic Place			Hawthorne	NY	10532	9149453412		55.00	6	\$7,321.94
001324	Antonio	Casio	20 West 5Th Street			Stuart	FL	34994	7722832382		55.00	6	\$7,487.60
000152	Kevin	Casper	11 Riverview Drive			Wayne	NJ	07470	9736946500		55.00	6	\$11,929.35
002245	Pasquale	Castaldo	874 Morris Park Avenue			Bronx	NY	10462	7188220570		75.00	7,63	\$13,991.75
002074	Louis	Catalina	601 Maplewood Ave.			Armdge	PA	16003	7242665919		70.00	6,63	\$1,770.94
002020	Anthony	Cavallo	63 Michael Drive			Westfield	NJ	07090	90830719090		70.00	6,63	\$7,441.17
000287	Frank	Cavuto	494 Booth Court			Wyckoff	NJ	07481	2014455600		75.00	6	\$15,807.04
001656	Evelyn	Cena	9222 Bayshore Dr			Silverdale	WA	98383	3606928808		70.00	7,66	\$4,236.13
001522	Catherine	Censullo	113 Nehermont Ave			North White Plains	NY	10803	9149977724		70.00	6	\$12,335.86
001091	Suzanne	Chandler	2002 N. Lois Avenue		Suite 22C	Tampa	FL	33607	8138728494		50.00	6	\$3,196.32
000548	Harold	Chaven	28 Hollybrook Road			Paramus	NJ	07652	2014452966		80.00	7,63,66	\$21,776.68
002360	Chansok	Chey	2 Beacon Road			Hopatcong	NJ	07843	8622684447		75.00	6	\$3,314.60
000612	John	Chiodi	16-00 Rt 208 South			Fair Lawn	NJ	07410	2014754007		60.00	6,63	\$4,164.15
000965	Brian	Clapp	73 Summit Avenue			Waldwick	NJ	07463	2016707736		45.00	6,63	
001902	Herbert	Clark	2379 Ne Loop 410		Suite 10E	San Antonio	TX	78217	2106565377		60.00	6,63	
000623	James	Clayton	129 Old Clove Road			Sussex	NJ	07461	9737028965		60.00	6,63	
001649	Donald	Cleary			285 Pasc Suite 9	Washington Twsp	NJ	07676	2016848808		70.00	6	

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REP ID	Name	Address	Address2	Address3	City	State	Zipcode	Phone	U-5	% Payout	NASD LIC	Gross Comm
												Sept 30 2006 YTD
001345	Bary	4131 Spicewood Springs			Austin	TX	78756	5123461090	60.00	6.63		\$22,318.39
001090	Robert	2918 Busch Lake Blvd			Tampa	FL	33614	8139327415	70.00	6.66		\$16,292.39
002300	Mark	30 Segulne Ave.			Staten Island	NY	10309	7189672323	65.00	6.63		\$1,046.28
001795	Robert	332 Anderson St.			Hackensack	NJ	07601	2014800060	75.00	7		\$506.44
002426	Donna	150 Colson Road			Mullica Hill	NJ	08062	8564784881	70.00	6		\$34,658.18
002385	William	Dugan, Colhart & Zoch Pa			Closter	NJ	07624	2017876270	80.00	7.63		\$6,952.51
002135	Richard	300 South Duncan Avenue			Cleanwater	FL	33755	7274619772	80.00	6.63		\$20,964.74
002128	Michael	635 Dutchess Turnpike			Poughkeepsie	NY	12603	8454527800	70.00	6.73		\$772.90
002109	Danielle	6919 Lakewood Drive W. Unit D1			Tacoma	WA	98467	2534725080	70.00	6.63		\$9,992.82
001241	Steven	124 Webster Ave			Harrison	NY	10528	9144507754	70.00	6		\$15,833.27
001251	Ralph	147 E. Central Avenue			Maywood	NJ	07807	2019098975	70.00	6		\$26,124.91
001918	Frank	1 University Plaza			Hackensack	NJ	07601	2015252280	70.00	7.63		\$39,669.95
002281	Raymond	Balance Financial Group Inc.			Newton	NJ	07460	9739401030	85.00	6.63		\$2,923.34
002411	Stephen	31 Hunters Lane		10 Union	Southampton	NJ	08088	8562351414	70.00	7.66		\$2,930.82
001078	Andrew	311 Washington Street			Tappan	NY	10983	9144140910	55.00	6.63		\$1,781.96
000894	Robert	21 Wagner Place			Hawthorne	NJ	07506	9734276966	70.00	6		\$3,968.66
002023	James	3440 S. Moore Circle			Flagstaff	AZ	86001	9287747371	50.00	6.63		\$186.17
001711	John	20 Polo Rd			Mickleton	NJ	08056	8562418871	60.00	6.63		\$1,918.05
001797	Anthony	285 Union Street		Apt. #1	Lodi	NJ	07644	9737778333	70.00	6		\$1,382.09
001228	Brian	26 Anise Court			Manahawkin	NJ	08050	6095971434	50.00	6		\$165.00
002264	Joseph	P.O. Box 369			Park Ridge	NJ	07656	2014761513	70.00	6		\$5,076.53
002291	Emilio	8 Robert Place			Nanuet	NY	10954	8456235271	70.00	6.63		\$1,551.28
002306	Etienn	8 Robert Place			Nanuet	NY	10954	8455983959	70.00	7.63		\$1,378.36
002387	Thomas	193 W Owassa Turnpike			Newton	NJ	07880	2016461333	70.00	7.66		\$14,261.05
002293	Gordon	162 Ulster Ave.			Saugerties	NY	12477	8452463484	70.00	6.63		\$7,560.62
000862	William	105 Winding Hill Road			Hopatcong	NJ	07843	9733989601	70.00	7.63		\$174.28
000067	Joseph	550 Madison Street			Carlstadt	NJ	07072	9737794407	45.00	6.63		\$565.00
000896	Anthony	35 Cobblewood Road			Livingston	NJ	07039	7325443482	70.00	7.63		
002233	David	11701 Randy Lane			Laurel	MD	20708	2402950300	70.00	6.22		
002226	Gary	Six High Point Drive		2nd Floor	Wayne	NJ	07470	9733050050	70.00	6.63		\$18,477.36
002192	W.	841 Quince Orchard Blvd.		Suite H	Gaithersburg	MD	20878	3012580300	70.00	6.63		\$582.50
001874	Stephen	266 Oakwood Ave			North Haledon	NJ	07508	9735839870	70.00	7.63		\$9,852.92
002425	Charles	Po Box 701			Alloway	NJ	08001	8568351758	70.00	6		\$37,560.00
002440	Dennis	Dale & Dale Associates, Inc.		479 Rt.	Mahwah	NJ	07430	7189819600	90.00	7.63		\$101,784.07
002118	Walter	1303 Clove Rd.			Staten Island	NY	10301	9086650021	70.00	6.73		\$10,194.80
002217	Joseph	200 Timber Drive			Berkely Heights	NJ	07922	71866542147	70.00	6.63		\$12,311.84
000763	Glover	1446 East Gun Hill Road			Bronx	NY	10469	2017848130	70.00	7.63		\$15,137.92
001029	Kip	35 Industrial Pkwy			Northvale	NJ	07647-22	7325918700	60.00	7.66		\$6,492.72
000953	Harry	187 Smoke Rise Road			Basking Ridge	NY	12603	8454737439	75.00	6.63		\$1,354.40
002396	Lenore	102 Overlook Road			Poughkeepsie	NY	12603	9737442262	70.00	6		\$2,825.59
001643	George	24 Carolin Rd			Montclair	NJ	07043	9737442262	70.00	6		\$3,996.64
001189	John	133 Long Lane			Upper Darby	PA	19082	6103522382	70.00	6.63		\$9,709.73
001528	John	415 Rt 10, Ste 2			Randolph	NJ	07869	9733280888	70.00	6.66		\$21,089.12
000529	Martin	4361 North Lake Blvd			Palm Beach Gardens	FL	33410	5616223162	75.00	6		\$19,892.34
000335	Henry	614 McCarthy Drive			New Milford	NJ	07846	2013859345	65.00	6.63		\$1,273.89
002155	Paul	1311 Missouri Ave. So.			Cleanwater	FL	33756	7274471040	80.00	6.63		\$2,736.48
001555	Joseph	P.O. Box 396			Bergenfield	NJ	07621	2013855508	70.00	6		\$10,769.44
001794	Edmund	332 Anderson Street			Hackensack	NJ	07601	2014882318	75.00	7.63		\$3,319.21
001310	Richard	10 B Auer Court			E. Brunswick	NJ	08816	7323907666	50.00	7.63		\$4,366.06
001013	Ernest	533 Lafayette Avenue			Hawthorne	NJ	07506	9734233177	70.00	6		\$80,446.93
002232	James	337 North Main Street			New City	NY	10956	8456384527	75.00	6.63		\$2,547.93
001530	Alan	54 Florence Place		Suite 13	Elmwood Park	NJ	07407	2017973426	70.00	6.63		\$20,388.86
001780	Thomas	18 Julie Place			Wayne	NJ	07470	9732791527	70.00	6.63		
002202	Gary	14 Oak Knoll Rd			Mendham	NJ	07945	9735438408	70.00	6.63		

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REPID	Faxing	Leanne	Address	Address2	Address3	City	State	Zipcode	Phone	U-S	% Payout	NASD LIC	Gross Comm
000362	Arvind	Desai	24 Hilltop Drive			Cedar Grove	NJ	07009	9736341911	65.00	6		\$3,372.56
000682	Vincent	DeSimone	20 Greenwood Lake Tpke.			Ringwood	NJ	07456	9738398866	80.00	6,63	62,22,65	\$30,786.11
001567	Paul	Devera	60 Broadway Suite 22			Denville	NJ	07834	9736274482	70.00	7,66		\$22,502.64
000646	Charles	Dickens	6C Tobacco Lane			Red Hook	NY	12571	845-758-3330	70.00	6,63		\$6,654.80
000516	Michael	Dickson	1 Warner Road			Hampton Bays	NY	11946	9144508525	70.00	6,63		\$13,094.26
001916	Joseph	DiFligia	Po Box 217			Budd Lake	NJ	07828	9088625843	70.00	6,63		\$147.40
000927	Rhys	Dill	58 Redwood Avenue			Wayne	NJ	07470	9738968080	50.00	6		\$1,962.57
001844	Lucius	Dixon	51 Dressage Place			Freehold	NJ	07728	7323037455	45.00	6		
000583	Robert	Dolan	8 Revere Court			Somers	NJ	10589	9142735300	70.00	6,63		\$18,580.45
001709	Edward	Dolan	115 Melrose Ave			No. Arlington	NJ	07031	9089640220	70.00	6		\$3,408.15
000365	Thomas	Donahue	177 Main Street			Fort Lee	NJ	07024	2014892100	55.00	6		\$6,603.84
000690	Vahe	Doniklan	P.O. Box 1921	Suite 30C		South Hackensack	NJ	07606	2013424237	55.00	6		
002348	James	Dorn	2337 Cypress Tree Circle			West Palm Beach	FL	33409	5613523514	70.00	4,7,24,65,63		\$8,272.53
000405	Robert	Dougherty	2549 Regal River Road			Valrico	FL	33594	8136531208	70.00	6,63		\$10,508.91
001080	John	Doyle	4131 Spicewood Springs Rd			Austin	TX	78759	5123381376	65.00	6,63		\$27,266.30
002060	Christopher	Draeger	16 Harmony Lane	L4		Randolph	NJ	07869	9732784601	70.00	6		\$3,726.81
000659	Roy	Drukker	12 Hopes Way			Cumberland	ME	04021	2078292728	50.00	6		\$11,886.73
001612	Mary	Dubbs	5000 Bridgeport Way West			University Place	WA	98467	2535669671	70.00	6,63		
002098	Craig	Dugan	161 McKinley St.			Closter	NJ	07624	2017676270	80.00	6		\$2,499.71
001460	George	Duryea	116 E. Crystal Lake Avenue			Lake Mary	FL	32746	4073398585	55.00	7		\$4,550.86
002257	Salvatore	D'Uva	115 Bloomfield Ave.			Caldwell	NJ	07006	9732261744	70.00	7		\$4,164.15
002215	Dennis	Dzuma	205 Laurel Lane			Franklin Lakes	NJ	07417	9733319050	70.00	7,63		\$25,609.52
000176	Randy	Egan	4 Birch Dr.			Highland Lakes	NJ	07422	9738318020	50.00	6,26		
002324	Sherri	Eldredge-Cook	54 Fieldcrest Drive			Westampton	NJ	08060	6097921105	70.00	6,63		
002045	John	Elliott	87 Colfax Road			Wayne	NJ	07470	9736160302	70.00	6		\$1,362.81
001970	Kevin	Elvidge	93 Madison St.			Newton	NJ	07860	9733001136	70.00	6		\$4,042.09
000172	Raymond	Endres	200 Crest Drive			Paramus	NJ	07652	2018432153	70.00	6		\$5,723.25
000277	Gary	Etter	14 Shady Lane			Freehold	NJ	07728	7323644414	70.00	6		\$6,263.95
000295	Jeffrey	Etzlin	580 Sylvan Avenue			Englewood Cliffs	NJ	07632	2015694088	70.00	6,63		\$13,507.87
000940	Steven	Faber	11 Butternut Lane			Monroe Township	NJ	08831	8002217945	50.00	6,63,7		\$4,355.79
000032	Robert	Fair	68 Hoffman Lane			Blauvelt	NY	10913	8457352276	60.00	6,63,7		\$2,672.06
002419	Joseph	Fantone	35 Diddell Road			Easton	NY	12580	8455466852	60.00	6,63		
000041	Jeffrey	Febbo	801 Walnut Avenue			Monsey	NY	10962	6102520455	87.50	6,63,26,65		\$228,789.01
000929	Sanford	Felbusch	9 Carpenter Court	Suite 602		New York	NY	10016	2125458905	70.00	6,63		\$10,956.46
000342	Jill	Feldman	183 Madison Avenue	Suite 308		Bradenton	FL	34203	8453682397	70.00	6,63		\$11,208.31
001423	JoAnne	Ferguson	109 44th Avenue East			Yonkers	NY	10710	9417441720	70.00	6,66		\$15,768.49
002235	Erasmus	Ferrante	21 Hearststone Road			West Haven	CT	06516	2039376309	70.00	7,63		\$5,748.47
002120	Jeffrey	Ferraro	377 Main Street			Oxford	MS	38655	9013595128	75.00	6,63,26,7,24		\$2,056.40
002122	Jami	Ferrell	220 Elm St. #4			New Palz	NY	12561	8452558980	75.00	7,52,63,65		\$2,471.15
000205	Patrick	Fillette	169 Main Street			Staten Island	NY	10309	71896858280	90.00	6,63,26,7,24		\$125,604.10
002400	Michael	Fischer	584 Ramona Avenue			West Nyack	NY	10994	9738386999	70.00	7,63		\$2,592.62
002212	Richard	Fishkin	23 Van Houton Fields			Totowa	NJ	07512	9733890990	85.00	6,65		\$12,613.59
000543	James	Fontanella	534 Union Blvd.	Suite 1		Campbell Hall	NY	10916	8454275012	60.00	6,63		
000476	Diane	Fortuna	16 Arbor Rd			Bayville	NJ	08721	7322378817	45.00	6		\$6,136.08
001404	Peter	Fortunato	66 Britany Drive			Kingsport	NY	12401	8453401492	70.00	6,63		\$8,276.60
000397	Burton	Fraleigh	70 Maiden Lane			Parsippany	NJ	07054	9738980709	70.00	7		\$13,838.21
001906	Alexander	Franco	980 Littleton Road			Lake Worth	FL	33481	5616427008	70.00	6		\$2,558.51
000168	Elliott	Franklin	2777 South Conigrass Ave			Teaneck	NJ	07866	2018332670	55.00	6,63,65		\$34,890.32
000758	Gwendolyn	Franklin	357 Churchhill Road			Whitehall	PA	18052	6102620111	70.00	6,63,22,26,62,65		\$3,597.13
001545	Curtis	Franklin	4403 Main Street-Egypt			Whitehall	PA	18052	2156464711	70.00	6,63,22,26,62,65		\$2,476.77
001569	Curtis	Franklin	4403 Main Street-Egypt			Whitehall	PA	18052	2156464711	70.00	6,63,22,26,62,65		\$250.92
001408	Joseph	Frezza	408 East Welsh Rd			Warren	NJ	07059	7326720030	55.00	6,63		\$2,476.77
002318	Robert	Friedman	74 Dock Watch Hollow Road			Forked River	NJ	08731	6099716898	70.00	7,63,65		\$250.92
001113	Gerard	Fritz	P.O. Box 925	217 W. L		Forked River	NJ	08731	6099716898	70.00	6		\$4,328.12

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REP ID	Franchise	License	Address	Address2	Address3	City	State	Zipcode	Phone	U.S.	% Payor	NASD LIC	Gross Comm	Sept 30 2005 YTD
0001385	Barry	Fry	P.O. Box 979			Oaks	PA	19456	6106660450		80.00	6,63.65	\$10,685.00	
0001165	Douglas	Fulthorpe	627 31st Avenue, North			St. Petersburg	FL	33704	7274033538		70.00	6.66	\$2,599.96	
0002345	Donald	Furman	144 Route 17M PO Box 993			Harriman	NY	10926	8457828996		90.00	6,7.63	\$26,147.98	
0000826	Richard	Gaba	54 Clement Street			Nutley	NJ	07110	9736670478		80.00	6,7.66	\$93,398.79	
0001801	Ofer	Gabbay	Targeted Financial Services Llc			900 Rout 6Th Floor Woodbridge	NJ	07095	7326345100		80.00	7	\$84,747.16	
0002131	Paul	Gabbianelli	18 Overlook Avenue			Rochelle Park	NJ	07862	2012915696		87.50	6,63.62,65	\$23,575.09	
0003114	Daniel	Gagnon	212 Fair St.			Kingston	NY	12401	8456878341		70.00	6.63	\$13,405.69	
0001440	David	Gagnon	212 Fair St.			Kingston	NY	12401	8453313600		70.00	6.63	\$2,912.94	
0001940	Gregory	Gallo	509 Route 70 West			Cherry Hill	NJ	08002	8564288210		70.00	6		
0002201	Denise	Gallo	326 Webster Drive			New Milford	NJ	07646	2014443354		45.00	7.63		
0001301	Michael	Gandert	112 Prospect Street			Midland Park	NJ	07432	9738318020		75.00	6,7.24,63		
0001112	Robert	Gariano	22 Cadmus Street			Nutley	NJ	07110	9736615041		85.00	6.63		
0002252	Joseph	Gawalis	54 Main Street Ste. 102			Succasunna	NJ	07876	9735841232		70.00	6	\$176.00	
0002048	Timothy	Gearly	185 Park Ave.			Rutherford	NJ	07070	2014382350		70.00	6		
000049	Geary Cocuzza		217 Deacon Drive			Pawleys Island	SC	29585	2019336022		70.00	6	\$12,144.06	
0001368	Kenneth	Geiselt	2236 Shawnee Path			Scott Plains	NJ	07096	7324999555		55.00	6.63	\$4,731.62	
0000685	Peter	Gensicke	15 Alden St. Suite 9			Cranford	NJ	07016	9082728686		70.00	6,63.7	\$1,283.20	
0002312	Stephen	George	19 Amelia Drive			Old Tappan	NJ	07675	2013586789		70.00	6	\$6,093.78	
0002397	Steven	Gerblino	2067 Heffner Road			Fogelsville	PA	18051	6102852076		75.00	6.63	\$9,081.19	
0002398	George	Gerblino	2067 Heffner Road			Fogelsville	PA	18051	6102852076		75.00	6.63	\$13,006.77	
0002294	Philip	Gertler	22 S. Manheim Blvd.			New Paltz	NY	12561	8452550839		55.00	6.63	\$3,783.19	
0001740	Michael	Glandolfo	520 Clifton Ave			Clifton	NJ	07011	9737721850		80.00	6,7	\$21,673.48	
0000607	Barton	Gifford	2136 Gulf Gate Drive, Suite #1			Sarasota	FL	34231	9419233323		80.00	6	\$24,519.13	
0002082	Barbara	Gilliland	7202 - A Highway 76			Pendleton	SC	29670	8649721924		70.00	6.63	\$2,145.45	
0001885	Evan	Golar	15 Murray Drive			Airmont	NY	10952	8453578770		75.00	6,63.7	\$583.15	
0001862	Walter	Golczewski	63 Butternut Drive			Wayne	NJ	07470	9738356255		75.00	7	\$29,736.12	
0001531	Alfred	Golluscio	2 Hollywood Blvd.			Forked River	NJ	07831	6096938181		70.00	6	\$5,431.74	
0000876	George	Gosen	15 North 5Th Street		Suite N	Saddlebrook	NJ	07863	2013684737		70.00	6	\$18,365.73	
0001664	Kathleen	Grenstrand	102 Lake Drive West		Suite 204	Wayne	NJ	07470	9738335494		75.00	6	\$10,567.95	
0002124	Donald	Gray, Jr.	63 North Main Street		Suite J	Stewartstown	PA	17363	7179935550		75.00	6,63.65	\$23,446.45	
0002389	Albert	Grube	83 Tenby Chase Drive		Suite 202	Voorhees	NJ	08043	8567683430		70.00	6	\$36,115.71	
000160	Thomas	Grubelja	201 W. Passaic Street		Suite 202	Rochelle Park	NJ	07862	2018457001		85.00	7.63	\$12,722.16	
0001800	Jonathan	Green	900 Route 9		6Th Floor	Woodbridge	NJ	07095	7327509880		70.00	6.63	\$31,203.78	
0002219	Alfred	Grillo	338 Caswell Avenue			Staten Island	NY	10314	2126204010		70.00	6.63	\$3,292.85	
0001782	Jack	Gross	307 Seventh Avenue #2308			New York	NY	10001	2126204010		65.00	6.63	\$301.98	
0002332	Richard	Groves	Richard W. Groves, Pc		152 W. N	Myerstown	PA	17087	7178667529		70.00	6,63.62,26	\$18,506.75	
0000024	David	Grube	Po Box 310			Fogelsville	PA	18051	6103950141		70.00	6.63	\$14,531.59	
0002437	Michael	Guerin	7223 Avalon Valley Dr.		Suite 216	Danbury	CT	06810	2032317269		70.00	7.66	\$3,723.72	
0001847	Stephen	Gutilla	277 Fairfield Road		Office #2	Fairfield	NJ	07004	2012474350		70.00	6.63	\$4,221.29	
0002117	Filippo	Hager	299 Main St			Lodi	NJ	07644	9737776061		50.00	6.63	\$5,058.23	
0002039	Tyler	Hakim	405 N. Beaver St. #1			Flagstaff	AZ	86001	9287748995		70.00	6.63	\$3,814.40	
0001838	Victor	Hall	27 Gettysburg Way			Lincoln Park	NJ	07035	9732440004		70.00	6.63	\$3,076.56	
0001719	Gloria	Hanlon	1752 Van Cortlandt Terrace			Teaneck	NJ	07666	2018375063		55.00	6.63	\$15,619.84	
0001833	Alexander	Handel	87 Dogwood Drive			Staten Island	NY	10312	7182270142		50.00	7,24.63	\$36,729.42	
0000771	James	Hanlon	126 Haas Road			Basking Ridge	NJ	07920	9086042051		80.00	6,63.7,65	\$16,048.28	
0001405	Myles	Hannigan	715 Mac Dade Blvd			Folsom	PA	19033	6105865810		70.00	7.63	\$2,626.07	
0002299	Paula	Harman Smith	2400 Park Street			Findlay	OH	45840	4194228297		70.00	6.63	\$43,305.63	
0002416	John	Harper	312 Wildwood Drive			Wappingers Falls	NY	12550	8459137030		60.00	6,63.65	\$8,383.19	
0000056	Donald	Hartensveld	215 Terrace Lake Drive			Butler	NJ	07405	9738901818		70.00	6	\$21,754.43	
0001058	Mark	Haskins	5 Eberhardt Court			Bradenton	FL	34205	9417484566		70.00	6.63	\$10,235.73	
0000042	David	Hassler	611 26Th Street W			Nazareth	PA	18064	6107460676		70.00	6.63	\$42,747.93	
0001609	Robert	Hayes	5944 Shady Lane			Tacoma	WA	98467	2534725080		85.00	7.63		
0002390	Darin	Hecht	6919 Lakewood Dr. W Unit D-1		101 E Me	Little Falls	NJ	07424	9732379200		60.00	7.63		

## C.J.M. Planning Corp. - Sales Report - Calendar Year - Active Broker-Dealer Reps

REP ID	First Name	Last Name	Address	Address 2	Address 3	City	State	Zipcode	Phone	U-5	% Payout	NASD LIC	Gross Comm	Sept 30 2005 YTD
000182	Donald	Hellar	81 Smoke Ridge Road			Ringwood	NJ	07456	9738310559	70.00	6.63		\$3,169.81	
000190	Diane	Helms	29 Grove Street			Headland	AL	36345	3346932420	75.00	6.63		\$2,253.62	
000196	Charles	Helms	29 Grove Street			Headland	AL	36345	3346932430	75.00	7.24	63	\$3,879.67	
000208	Janet	Hermelle	3949 E. Wethersfield Road			Phoenix	AZ	85032	6028674177	60.00	6.63		\$2,799.32	
000240	Richard	Hendershot	7968 Wellington Drive			Warrentown	VA	20186	7033611592	70.00	6.63	65	\$1,208.18	
000283	Charles	Henderson	1940 E. Thunderbird # 103			Phoenix	AZ	85022	6024937947	60.00	6.63			
000093	John	Henlitz	67 Raum Place			Bergenfield	NJ	07621	2013844804	45.00	7		\$5,301.87	
000193	Charles	Hermann	Po Box 185600			Hamden	CT	06518	2032488481	70.00	6.63	65	\$64,016.31	
000275	Richard	Herzog	14 King Road			Landing	NJ	07850	9733984722	85.00	6.72	66	\$16,748.05	
000176	Arthur	Hesch	491 N. Mountain Rd.			Copake Falls	NY	12517	5183254995	80.00	6.63		\$2,243.33	
000176	Evelyn	Hesch	491 N. Mountain Rd.			Copake Falls	NY	12517	5183254995	80.00	6.63		\$1,502.95	
000189	Douglas	Heun	327 Central Ave.			Linwood	NJ	08221	6098279332	80.00	6		\$9,208.15	
000166	Brian	Higgins	83 Perrin Avenue			Pompton Lakes	NJ	07442	9738358439	45.00	6			
000189	G.	Hnatyshak	Po Box 3510			Flagstaff	AZ	86003	9285266941	50.00	6.63	22	\$3,861.09	
000109	Paul	Hodges	50 S. Blecher Road	#115		Clearwater	FL	33764	7274615824	70.00	6		\$7,418.92	
000248	Richard	Hodgman	101 West Street	Suite On		Hillsdale	NJ	07642	2016660923	70.00	6.63		\$15,204.75	
000150	Sidney	Hoffman	41 Gleason Drive			Thiells	NY	10984	8453628190	70.00	6.63		\$12,773.53	
000440	Thomas	Hogle	205 N. Rhodes St.			Monticello	FL	32344	4078300611	75.00	6.7	63	\$11,888.62	
000106	Floyd	Holway	6404 Manatee Ave. W	Suite K		Bradenton	FL	34209	9417925800	50.00	6.63		\$5,271.94	
000199	Gerry	Horowitz	912 N. Beaver Street			Flagstaff	AZ	86001	9287793659	70.00	6.63		\$28,711.29	
000660	Raymond	Hough	365 Heights Road	Apt D		Bloomfield	NJ	07003	2129634608	70.00	6.63		\$9,025.62	
000232	Simone	Houlker	8 Donald Street			Wyckoff	NJ	07481	2013423300	60.00	6		\$368.20	
000541	Diane	Howard	P.O. Box 659			Flanders	NJ	07836	9739271040	70.00	6		\$13,296.02	
000545	Lorraine	Howard	P.O. Box 659			Flanders	NJ	07836	9739271040	70.00	6		\$10,665.88	
000145	Carl	Howard	3102 Renker Dr.			San Antonio	TX	78217	2105999217	45.00	6.63		\$3,188.01	
000366	Susan	Howarth	2431 Hunters Trail			Myrtle Beach	SC	29588	843-235-5235	75.00	6.63		\$4,825.43	
000141	John	Huff	5435 W Bull Valley Road			Mc Henry	IL	60050	8153631005	50.00	6.63	65	\$3,742.80	
000550	Robert	Hughes	247 Valley Road			River Edge	NJ	07661	9737648291	70.00	6.63		\$30,828.12	
000025	Albert	Humm	75 North Central Ave.			Elmsford	NY	10523	9143472922	70.00	6.63		\$6,111.91	
000140	Louis	Iannucci	19 Bog & Vly Lane			Lincoln Park	NJ	07035	9738903908	50.00	6.63		\$489.89	
000100	Michael	Iannucci	48 Ringwood Avenue			Ringwood	NJ	07456	9738362242	70.00	6.66		\$235,860.62	
000770	Laura	Ingraffea	26 Sawyer Court			Allendale	NJ	07401	2018186979	80.00	6.63		\$4,384.13	
000150	Anastasios	Iannou	507 Stanhope Road			Sparta	NJ	07871	9733833200	60.00	7.63		\$1,001.00	
000248	Marian	Ion	70 West Street			Spring Valley	NY	10977	8453528649	70.00	6.63		\$14,721.09	
000441	David	Jacas	8700 Boulevard East Apt 1E			North Bergen	NJ	07047	8453528649	90.00	6		\$16,357.13	
000444	Andre	Jacas	328 S. Falkenburg Rd			Tampa	FL	33618	8138547650	70.00	6.63		\$8,708.21	
000216	Coretta	Jackson	1400 Front Ave.			Prospect Park	NJ	07508	2018935139	75.00	6		\$15,706.25	
000207	Dawn	Jackson	623 Hillsdale Ave			Lutherville	MD	21093	4107698966	70.00	6		\$3,030.96	
000195	Richard	James-Serra	Po Box 7625			Hillsdale	NJ	07642	2013588300	70.00	6		\$15,654.82	
000120	Linda	Jenkins O'Rourke	PO Box 275	3138 Rot		Clearwater	FL	33756	7274499311	80.00	6.63	65	\$72,084.70	
000311	Robert	Jessup	36 Dora Avenue			Campbell Hall	NY	10916	8452946981	50.00	6		\$1,135.44	
000688	Clare	Joaquin	3228 Franklin Lane			Waldwick	NJ	07483	9733612102	75.00	6.63		\$39,726.17	
000330	Pearl	Johnson	309 East Main Street			Rockaway	NJ	07866	9736641065	70.00	6		\$3,634.02	
000194	Deborah	Jones	4 Willow Court			Rockaway	NJ	07866	2013913470	70.00	6			
000207	Linda	Jones	223 Wanaque Ave			Park Ridge	NJ	07656	9738318020	70.00	6			
000243	Michelle	Jones	65 Cromwell Road			Pompton Lakes	NJ	07442	8454696750	0.00	7			
000292	Roy	Kalmus	730 West Colonial Drive			Monroe	NY	10950	8454696750	60.00	6.63	65	\$3,030.96	
000915	Zahir	Karaji	2 Cobblestone Lane			Orlando	FL	32804	4074232371	60.00	6		\$15,654.82	
000060	Thomas	Karabinus	115 North 18th Street			Belvidere	NJ	07823	9084754464	80.00	6.63	7,24	\$72,084.70	
000147	Christopher	Karabinus	252 Kinderkamack Road			Easton	PA	18042	4843730579	60.00	6.63		\$1,135.44	
000196	Nicholas	Karadimas	19 Random Farms Drive			Oradell	NJ	07649	2012615577	85.00	6.22	63	\$39,726.17	
000236	Randal	Kase	187 Paterson Ave			Chappaqua	NY	10514	9149234711	65.00				
000161	Joel	Kastin		#224		Midland Park	NJ	07432	973-631-4021	80.00	6.63	65	\$3,634.02	

## C.J.M. Planning Corp. - Sales Report - Calendar Year - Active Broker-Dealer Reps

REP ID	Name	License	Address	Address2	Address3	City	State	Zipcode	Phone	U-5	% Payout	NASD LIC	Gross Comm
													Sept 30 2006 YTD
002290	Kathryn Keane		2109 Homcrest			Brooklyn	NY	11228	7189983106	70.00	6.63		\$382.50
002334	Joseph Kellogg		635 Dutchess Turnpike			Poughkeepsie	NY	12603	8454527800	70.00	6.63		\$1,885.56
001742	James Kelly		96 Tuers Ave.			Jersey City	NJ	07306	2019635732	70.00	6		\$50,058.92
000026	Eric Kerssen		1900 Union Valley Road	Suite 302		Hewitt	NJ	07421	9737283200	80.00	6,7,24,63		\$921.76
002371	Sean Kessler		28426 Iliana Way			Brooksville	FL	34602	3527993044	70.00	7		\$1,971.33
001233	Robert Khalil		2232 Highwood Avenue	Suite B		Weehawken	NJ	07086	2019932687	50.00	6.63		\$1,478.60
001672	Frank Kincaide		P.O. Box 415	80 East N		Washingtonville	NY	10992	8454977742	70.00	6.63		\$10,040.41
001958	Mark Kissell		4200 S Cooper	Sie 210		Arlington	TX	76015	8174660023	75.00	6.63		\$291.43
001156	Donald Kleinschmidt		9-A Village Drive			Greenwood Lake	NY	10825	8454770007	50.00	7,63,65		\$12,094.34
000762	Leslie Klemcke		5805 Callaghan Road	Suite 20C		San Antonio	TX	78228	2106802371	50.00	6.63		\$44,965.39
002342	Donald Kluge		Mottel & Kluge Llc	525 N Br		White Plains	NY	10603	9146869400	90.00	6,63,65		\$9,984.17
001836	Charles Knapp		14 Division St			Somerville	NJ	08876	9087221810	70.00	6.63		\$2,115.65
002383	Henry Knapp		Henry A Knapp, Cpa, Pc	5501 N. C		Tucson	AZ	85704	5208871838	50.00	6,7,63		\$3,013.82
001763	Lawrence Koller		1250 East Ridgewood Ave			Ridgewood	NJ	07450	2014930900	70.00	7,63		\$2,220.18
000260	John Kondel		45 Avondale Avenue			Clifton	NJ	07013	9737739317	55.00	6		\$191.04
002309	Khara Koukoulakis		41 N. Ring Avenue			Tarpon Springs	FL	34689	7279422500	70.00	6		\$45,697.73
000774	John Koulianos		41 N. Ring Avenue			Tarpon Springs	FL	34689	7279422500	85.00	6,7		\$2,593.77
001143	Paul Kozachek		2424 Morris Ave	2nd Floor		Union	NJ	07083	9086878860	55.00	6		\$9,286.40
002446	Ross Kozlowski		12-217 Aspen Court			Stanhope	NJ	07874	9734484900	70.00	7		\$47,969.16
002333	Elizabeth Krebs		4931 N. Hamilton Ave.			Chicago	IL	60625	7735317854	80.00	6,63,7,66		\$4,777.82
001222	John Kulawiak		4 Waterloo Road			Stanhope	NJ	07874	9733473552	70.00	6.63		\$22,804.67
002072	Edwin Kulawiak		4 Waterloo Road			Stanhope	NJ	07874	9733473552	70.00	6.63		\$948.38
000538	Aaron Kupferschmid		107 Alan Drive	Unit D1		New City	NY	10956	2534725080	70.00	6.63		\$35,230.06
002150	Michael Lampton		6919 Lakewood Drive			Tacoma	WA	98467	8452274259	80.00	6.63		\$8,005.82
001217	Thomas Langtry		188 South Parلمان Road			La Grangeville	NY	12540	2017971600	50.00	7,24,63		\$6,643.76
001967	Michael Lanni		18-00 Route 208 South			Fair Lawn	NJ	07410	9738318150	80.00	6,65,66		\$6,426.92
002341	Edward Lascala		886 Huron Road			Franklin Lakes	NJ	07417	9738318150	50.00	6.63		\$229.12
001290	Gregory Lauray		611 Center Street			Bethlehem	PA	18018	7188635500	70.00	6.63		\$15,825.18
000138	Thomas Laureys		11 Flanders Dr.			Netcong	NJ	07857	9736918347	65.00	6		\$19,862.77
000893	Harry Laurie		10 Nottingham Way			Mt Laurel	NJ	08054	8566429477	50.00	6.63		\$2,485.58
001333	Dennis Lavin		3563 East Tremont Avenue			Bronx	NY	10465	7188635500	70.00	6.63		\$12,220.95
001334	James Lavin		3563 East Tremont Avenue			Bronx	NY	10465	7188635500	70.00	6.63		\$5,130.33
002412	William Lawson		12 Woodthrush Trail East			Medford	NJ	08055	8562351414	70.00	7,66		\$27,185.31
001402	Wendy Lee		686 Stoneleigh Avenue			Carmel	NY	10512	8457243285	75.00	6.63		\$17,444.73
001974	Michael Leff		306 Lafayette Ave.	Suite 2		Corlandt Manor	NY	10567	9147390700	75.00	7,63		\$16,763.31
001202	James Leger		345 Parkway Drive			Westbury	NY	11590	5169972171	50.00	6,7,22,63		\$5,130.33
000413	Ralf Lennon		29 Archung Road			Wayne	NJ	07470	9733059845	80.00	6,63,7		\$27,185.31
002296	Benjamin Letson		27 Madison Drive			Plainsboro	NJ	08536	7328982711	60.00	6.63		\$17,444.73
002438	Ronald Levinsky		39 Main Street			South Salem	NY	10590	9146469577	70.00	6.63		\$16,763.31
002378	Deborah Levy		33 Stone Paddock Place			Bedford	NY	10506	9142342152	87.00	7,63		\$1,548.18
001293	Kevin Liberati		P.O. Box 1167			Brewster	NY	10509	2037461414	70.00	6.63		\$4,766.48
001461	Edward Liccardi		447 Meadowood Rd			Jackson	NJ	08527	7329011384	70.00	6.63		\$26,847.51
000008	Lionie Lindsey		10506 N.W. 61 St Terrace			Alachua	FL	32615	3864183843	80.00	6		\$3,423.24
002420	Michael Lisuzzo		1535 Central Avenue			Albany	NY	12205	5188694443	80.00	7,24,63		\$168.00
002421	Steven Lisuzzo		1535 Central Avenue			Albany	NY	12205-55	5188694486	80.00	6.63		\$332.51
000281	Diana Liszka		988 Pines Terrace			Franklin Lakes	NJ	07417	2016771985	70.00	6		\$13,423.01
002393	Shella Littleton		11 Laurel Terrace			Garrison	NY	10524	9147374800	70.00	6.63		\$62,329.86
000226	Christopher Lopes		46 Silvercrest Drive			Ocean	NJ	07712	7324934255	75.00	6		\$19,910.81
000197	Jeffrey Lovas		210 Route 4 East	Suite 202		Paramus	NJ	07652	2019090395	80.00	6,63,26		\$5,105.42
000204	Joann Lovas		23003 Tornillo Drive			San Antonio	TX	78258	2104957887	80.00	6.63		\$3,782.12
000860	Anthony Love		34 East Main Street			Somerville	NJ	08876	9082317383	60.00	6.63		\$79,339.55
001177	Robert Lozito		51 Hardwick Lane			Wayne	NJ	07470	9737686208	70.00	6		\$5,278.36
000299	Bruce Lubatkin		100 Newcomb Rd			Tenafly	NJ	07670	2015411140	70.00	6,7,63		
002286	James Luccisano		8140 College Parkway	Suite 104		FL Meyers	FL	33919	2392674042	70.00	7,24		

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REPID	Enage	Leanne	Address	Address2	Address3	City	State	Zipcode	Phone	U-5	% Payout	NASD LIC	Gross Comm
000544	William	Lund	503 West Broad Street			Bethlehem	PA	18018	6108656003	X	50.00	6,63	\$4,104.22
000544	William	Lund	1808 Rue De La Port Drive			Keyport	NJ	07719	7322642916		70.00	7	\$1,731.41
002317	Todd	Lutman	1800 Cathedral Road			Huntingdon Valley	PA	19006	2156575588		70.00	6,63	\$13,640.81
002429	Edward	Mack	Jackson Hewitt Tax Service			New Brunswick	NJ	08902	7322960220		70.00	6	\$8,089.34
001985	Mark	Madan	P.O. Box 219	731 Geor		Barnville	PA	19506	6104880295		75.00	6,63	\$35,285.44
001011	Denise	Madeira	1 Finnegan Lane	212 Main		Suffern	NY	10901	8453570123		70.00	6,63,65	\$6,886.90
002102	Howard	Madlin	44 Stilton Road	Suite 105		Piscataway	NJ	08854	7327523477		87.50	6,63,65	\$179,087.82
002059	Alex	Malg	8 N. Forkland Road			Maple Shade	NJ	08052	8566675222		70.00	6	\$4,598.20
002403	Douglas	Maluchnik	JDJ Financial Group Inc.	1048 rt 9		Blairtown	NJ	07825	9083626684		70.00	6,63	\$14,536.02
002404	Joanne	Matuchnik	P.O. Box 376	7 Deer R		Blairtown	NJ	07825	9083626684		70.00	6,63	\$33,975.74
000011	Maurice	Mandell	271 Saxony Drive			Crestview Hills	KY	41017	8593314245		75.00	6	\$11,603.72
000843	Frank	Mango	1235 Chambers Street			W. Long Branch	NJ	07764	7322631600		65.00	6	\$2,275.20
001988	Joseph	Marcucci	77 Erie Avenue			Trenton	NJ	08610	6096953290		80.00	6,7,24,63	\$5,972.52
000029	Richard	Marino	6B Dorado Drive			Morristown	NJ	07866	2122515575		70.00	7,63	\$2,734.25
002410	Michael	Martino	302 James St.			Northern Cambria	PA	15714	8143446506		70.00	6,63	\$7,715.13
002246	Pedro	Markovich	5-10 Lori Lane	Unit 1B		Fair Lawn	NJ	07410	2017964394		70.00	6	\$6,284.00
001953	John	Marshall	195 Fairfield Ave.			West Caldwell	NJ	07006	9733641100		70.00	6	\$12,750.51
000922	James	Marlin	41 Charwalt Place			Hawthorne	NJ	07506	2012361211		70.00	6	\$1,951.25
000823	Steven	Martino	191 Godwin Avenue			Wyckoff	NJ	07481	2018470200		70.00	6	\$26,094.80
001767	Thomas	Masko	397 Chestnut St	Suite 1		Union	NJ	07083	9089641199		70.00	6,63	\$48,808.37
002326	Michael	Mastil	21 Ridgewood Avenue			Delran	NJ	08075	8587649611		70.00	6,63	\$3,822.18
000158	Don	Mathieson	119 Rockland Center			Naruet	NY	10954	8453576815		80.00	6,63,7,65	\$1,234.89
000410	Kevin	Matthews	32 Saddleback Ridge Rd.			Wallkill	NY	12589	8458958875		70.00	6,63,65	\$14,072.32
000191	Kathleen	Mattie	1300 Hudson Street	B-7		Hoboken	NJ	07030	2129844073		50.00	6	\$1,828.90
000669	Donato	Mazzaro	17 Watchung Ave			Ringwood	NJ	07456	9738319546		55.00	6	
001867	Michael	Mezzuccio	68 Richelleu Place			Chatham	NJ	07928	9737016799		70.00	6	
000600	Malcolm	McCloggan	94 Green Street	Suite 102		Newark	NJ	07108	9736781960		70.00	6,63	
001070	John	McCormac	206 Dorchester Ave.			Woodbridge	NJ	07095	7326348900		60.00	7	\$18,166.01
002157	John	McGinnis	Thb Advisors			Cambridge	MD	21613	4102283118		70.00	7	\$12,115.66
001889	James	McLaughlin	309 East Main Street	601 Roul		Cape May Courthouse	NJ	08210	6094652208		70.00	6	\$21,537.31
001939	Edward	McManus	83 Havermill Road			Rockaway	NJ	07866	9736641065		75.00	6,63	\$2,838.93
002016	J.	Meiner	9345 Orchard Way			New City	NY	10956	8456383989		70.00	7	\$10,982.38
002134	Brenda	Mejia	14 Madison Ave	Suite 101		Spring Hill	FL	34608	3526862393		70.00	7	\$3,974.74
001520	Louis	Mercadante	481 State Highway 79			Valhalla	NY	10595	9149481976		70.00	6,63,65	\$1,899.18
002178	Kevin	Meszaros	P.O. Box 947	Suite 5		Morganville	NJ	07751	7329239525		70.00	7	\$61,581.86
001040	John	Michalewicz	408 Highland Avenue Bldg. A			Lake Hopatcong	NJ	07849	9736632555		70.00	6,63	\$99,177.84
002349	Joseph	Milano	474 Route 202			Cheshire	CT	06410	2032719114		70.00	6,63	\$67,128.02
000349	John	Milano	241 Midland Ave.			Oakland	NJ	07436	2013377361		75.00	7	\$16,076.91
002405	Mark	Miller	P.O. Box 211			Pompton Lakes	NJ	07442	9736277736		70.00	7	\$18,629.66
000551	Eleanor	Miller	585 Rugh Street	Suite 101		Belvidere	PA	17823	6104984590		70.00	6,63	\$11,012.59
002319	Richard	Miller	960 Milton Turnpike			Greensburg	NY	15601	7248538536		80.00	7,63,65	\$37,252.28
001201	Susan	Mintier	85 South St.			Clintondale	NJ	12515	8458835773		70.00	6,63,65	\$280.00
001748	Michael	Mintz	573 Valley Road			Freehold	NJ	07728	7324822666		70.00	7,66	\$1,796.36
001215	Barry	Mirsky	P.O. Box 90	310 Ram		Wayne	NJ	07470	9736960035		80.00	6,66	\$17,494.23
000173	David	Mital	107 Irene Avenue			Oakland	NJ	07310	2013379282		45.00	6	\$10,110.40
000256	Susan	Mongelluzzo	2604 Gramercy Way			Buena	NJ	08310	6096974552		60.00	6,63	\$3,729.11
000525	Tony	Monroe	170 Kinnelon Road	Suite 30		Mt. Laurel	NJ	08054	(212) 618-8772		85.00	6,63,22	\$4,857.00
001653	Anthony	Monterisi	9222 Bayshore Dr			Kinnelon	NJ	07405	9734925566		70.00	6,63,65	
001657	Nona	Moers	7618-27th Street West			Silverdale	WA	98383	3606828808		70.00	6,63	
001594	Ronald	Moore	8605 Cameron Street	Suite 21E		University Place	WA	98466	2535641725		75.00	6,63	
002279	Donald	Morgan	54 Bay Avenue			Silver Spring	MD	20910	3016080848		70.00	6	
000712	Marlene	Morris	Tritemis Solutions	4 Queen		Bloomfield	NJ	07003	9737433967		70.00	6	
002445	Sonia	Morris				Norwalk	CT	06851	2037220551		70.00	7,66	

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REFID	Name	License	Address	Address2	Address3	City	State	Zipcode	Phone	U-5	% Payout	NASD LIC	Gross Comm
001796	James	Muckell	19 Mary Crest Rd.			West Nyack	NY	10994	8456241619		70.00	6.63	\$104,165.14
000001	S.	Musumeci	819 Ridgewood Ave			Oradell	NJ	07649	9738318020		95.00	6.7,63.24	\$112,062.48
000164	Joseph	Musumeci	37 East Saddle River Road			Saddle River	NJ	07458	1973831802		85.00	6.63,22.26	\$765.71
000187	S.	Musumeci	1 Great Hall Road			Mahwah	NJ	07430	2017859591		0.00	6.7,24.53,63.52	
000145	Robert	Nacht	256 Van Nostrand Avenue			Englewood	NJ	07631	2015690807		70.00	6.66	\$18,027.44
000163	Frank	Nardi	163 East Main St			Little Falls	NJ	07424	9732562288		80.00	6.63	\$32,304.93
000910	Allan	Nasta	P.O. Box 104			Lyndhurst	NJ	07071	2019392666		50.00	6	\$1,687.57
000854	Domienick	Nasto	PO Box 217			Whippany	NJ	07981	9738843201		70.00	6.65	\$14,036.20
000234	Gary	Neumann	63 Jefferson Ave			Westwood	NJ	07675	2012631041		80.00	6.63,62	\$26,048.75
000237	Robert	Neumann	1945 Sunset Point Rd.	Suite 1		Cleanwater	FL	33756	7274412478		70.00	6.63	\$65,413.01
002413	Matthew	Nielsen	Gnu Asset Management	Park 80		Saddlebrook	NJ	07663	2012260790		90.00	7.63	\$2,533.38
002206	Joseph	Nittoli	39 North Ashby Ave.			Livingston	NJ	07039	9739798956		70.00	7.63	\$492.29
002136	Eva	Norris	263 Allen Road			Piscataway	NJ	13833	6076834400		70.00	6.63	\$6,415.10
002311	Kennedy	Nwankwo	4 Stelton Road			Clifton	NJ	08854	7329261999		45.00	6	\$1,446.48
001494	Edward	Obsuth	38 Stadtmauer Drive			Ramsey	NJ	07446	2128897788		70.00	7.63	\$7,725.33
001770	Douglas	O'Connor	623 Fairfax Drive			Mahopac	NY	10541	8456284522		90.00	6.63	\$4,679.75
002353	Colleen	Oddo	30 Indian Ave.			Middletown	NJ	07748	7324961184		70.00	6.63	\$4,679.75
001909	Patrick	O'Keefe	P.O. Box 451			Stroudsburg	PA	18360	9177633580		70.00	7.63	\$480.00
002322	Barry	Oliver	1310 Village Drive			Lancaster	PA	17603	7173922394		55.00	6.63	\$2,291.49
000185	Frederick	Olsen	105 Oriole Court			Queens Village	NY	11428	7187767144		70.00	6.63	\$3,602.61
002132	Luc	Ornel	90-45 207 St.			Yardley	PA	19067	2154939604		80.00	6.63	\$19,197.48
002386	Lawrence	Ortmann	292 Wild Orchid Court			Allentown	PA	18102	6107301422		80.00	5,726,63.24	\$347.41
002379	Frances	Oudheusden	124 N. Jefferson St.			Marlton	NJ	08053	8565962904		70.00	6.63	\$15,014.84
002325	Kenneth	Overdorf	P.O. Box 1181			Englewood Cliffs	NJ	07632	2015684646		80.00	6.63	\$4,761.45
001628	Paul	Pahick	51 Center Street			Dumont	NJ	07628	2013872471		60.00	6	
000756	Jack	Pallatta	100 Beacon Street			Waldwick	NJ	07463	2014449210		50.00	6	
000783	Gregory	Palmeri	156 Summit Avenue			Closter	NJ	07624	2017676270		80.00	6.63	\$19,064.48
002099	Steven	Panagi	161 McKinley Street			Venice	FL	34285	9414880543		75.00	6	\$23,448.41
000528	Lawrence	Paoli	209 Nassau Street, South	Suite 104		Basking Ridge	NJ	07920	9085421123		65.00	6.63	\$2,070.86
001739	Stefan	Papoutsoglou	108 Elmwood Court			North Bergen	NJ	07047	9738538077		70.00	6.63	\$5,035.00
002123	Lawrence	Pappas	7800 River Road 2nd Floor			Secaucus	NJ	07094	2013307577		70.00	6.66	\$9,741.13
001536	Camilo	Pardo	1317 Paterson Plank Rd			Piscataway	NJ	08854	7327529530		70.00	6.63	\$2,799.16
000429	Anthony	Paredes	250 Stelton Road			Great Meadows	NJ	07838	9083987694		70.00	6,26.63	\$39,079.72
002280	Nayana	Parikh	17 Vassar Road			Ridgewood	NJ	07450	2014443354		80.00	6,65.63	\$3,939.41
000749	Anthony	Passerino	171 E. Ridgewood Avenue	Suite 201		Lodi	NJ	07644	9734716781		85.00	6,26.63	\$1,078.00
002302	Mathesh	Patel	23 Avenue A			Piscataway	NJ	08854	8106702716		70.00	6.63	\$3,538.80
002304	Nayna	Patel	211 Nebula Road			Sinking Spring	PA	19608	4079337779		50.00	6	\$6,699.19
002183	John	Patrick	3657 Penn Avenue	Side 2		Kissimmee	FL	34744	7277998938		50.00	7,24.63,65	\$2,806.28
000511	Grace	Pattison	917 N. Palm Way St.			Safety Harbor	FL	34695	9738318020		50.00	4,7,24.63	\$44,128.25
002096	Jeffrey	Paul	8 Oakleaf Ct.			Cliffside Park	NJ	07010	9738318020		50.00	6.63	\$47,145.32
002363	Linda	Pecora	222 DeSoto Place	2nd Floor		Somers	NY	10589	9142454011		75.00	6.63	\$9,993.57
000341	Michael	Peist	15 Hyatt Lane	Suite 22C		New York	NY	10123	2129678613		80.00	6,7	\$3,428.85
001717	Robert	Peller	450 7th Ave			Pompton Lakes	NJ	07442	9738356171		70.00	6	
000010	Roy	Perraglio	23 Colfax Avenue			Clifton	NJ	07011	9734000031		60.00	7,63.65	\$34,253.57
001827	Thomas	Perez	500 Clifton Avenue			Nanuet	NY	10954	8458932848		80.00	6.63	\$5,130.76
002415	Anthony	Perrotta	80 Tennyson Drive			Scarsdale	NY	10583	9147256984		70.00	6	\$96,746.94
001264	Rudra	Persaud	108 Wilmet Circle			Ridgewood	NJ	07450	2014473042		80.00	6.63,65	\$9,447.14
001163	Gay	Pfeiffer	434 Fairway Rd.			Easton	PA	18042	6102520455		65.00	6	\$144,987.73
000975	Gregory	Plagesi	801 Walnut Ave			Pittsford	NJ	08540	6099241131		70.00	6.63	\$4,716.51
001339	Alfred	Pietrangelo	327 Carter Rd			Trevose	PA	19053	2156773334		65.00	6,7	\$17,301.50
001182	Lana	Pinkenson	2884 Old Lincoln Highway			Closter	NJ	07624	2017677528		70.00	6.63	\$848.53
000096	Fred	Pitofsky	7 Pearle Road			Boothwyn	PA	19061	6104854522		70.00	6	
002374	John	Plachuta	Plachuta & Associates	1577 Spr		Clifton	NJ	07013	9737785432		70.00	6	
001976	Steven	Plushnick	1066 Clifton Ave			Clifton	NJ	07013	9737785432		70.00	6	

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REP ID	Rep Name	License	Address	Address 2	Address 3	City	State	Zipcode	Phone	U-5	% Payout	NASD LIC	Gross Comm	Sept 30 2006 YTD
0002236	Craig Podosek		230 Genesee Street			Utica	NY	13502	3157328516		70.00	6.63	\$1,150.82	
0000913	Joseph Pollina		P.O. Box 146			New Milford	NJ	07646	9732565575		50.00	6	\$7,293.66	
0002225	Richard Polo		80 East Passaic Ave.			Nutley	NJ	07110	9736611988		70.00	7.63	\$33,192.43	
0001955	Albert Pomatto		1442 86Th Street			Brooklyn	NY	11228	7182323800		80.00	7.63	\$59,611.30	
0001789	Michael Poole		12-A Chestnut St			Ridgewood	NJ	07450	2014456164		75.00	6.63	\$23,132.42	
0001817	Ron Porat		7505 Alloway St			Tampa	FL	33625	8139495544		50.00	6	\$6,799.35	
0001557	Denise Porta		8 Wedgewood Dr.			Danbury	CT	06811	9149453031		70.00	6.66	\$8,361.53	
0001754	Marylou Portney		1086 Teaneck Rd.			Teaneck	NJ	07666	2018620500		70.00	6.63	\$8,551.77	
0002230	Roger Powell		155 - 52 101 Street			Howard Beach	NY	11414	7188453358		90.00	6.63	\$1,872.11	
0002256	Jeanne Powell		155-52 101 Street			Howard Beach	NY	11414	7188453358		90.00	6.63	\$1,872.11	
0002414	Jelani Piah		645 E St. Georges Ave.			Roselle	NJ	07203	9082980790		70.00	6.63	\$212,521.98	
0000181	Lee Quackenbush		6 Orchard Hill Vista			Florida	NY	10921	8456516520		70.00	6.63	\$3,991.52	
0000517	Gwendellyn Radloff		27 Barrows Avenue	P.O. Box		Rutherford	NJ	07070	2014385162		70.00	6.63	\$2,300.30	
000618	Abdulla Rasiwala		5134 Sillary Circle			Anchorage	AK	99508	9073380022		70.00	6.63	\$8,990.34	
000807	Louis Rauch		115 West End Avenue			Pompton Plains	NJ	07444	2012857600		70.00	6	\$6,022.96	
000577	Gerald Reiss		56 Whitney Drive			Berkeley Hgts.	NJ	07922	9086541819		75.00	6.63	\$61,251.73	
000433	Salvatore Restifo		c/o Lanni Restifo, LLC	1600 Rot		Fair Lawn	NJ	07410	2017971600	X	70.00	6.65	\$6,339.15	
001678	Jimmy Rice		5717 Via Los Ranchos			Paradise Valley	AZ	85253	4803671838		50.00	6.66	\$1,475.55	
000500	George Richardson		4 Autumn Leaves Rd.			Wallingford	CT	06492	2032693033		70.00	6.63	\$25,606.68	
000539	Janet Ricketts		2941 Magnolia Trace			Tarpon Springs	FL	34688	7279343863		85.00	6.72,45,63	\$4,578.77	
000270	David Robertson		225 Franklin Avenue	2Nd Floor		Midland Park	NJ	07432	8004407380		60.00	6.63	\$7,359.71	
0002118	Dawn Robertson		402 W. Lakeshore Drive			Browns Mills	NJ	08015	6098931541		70.00	6.63	\$9,221.93	
000419	Paul Rolnick		Cpa	1415 Qui		Teaneck	NJ	07666	2018336220		75.00	6.66	\$6,616.60	
000195	James Rosenbach		126 Valley Road			Glen Rock	NJ	07452	2014457557		70.00	6	\$75,275.26	
000905	Alan Rosenbaum		1446 East Gun Hill Road			Bronx	NY	10469	7186542147		70.00	6.63	\$489.84	
0002329	Richard Rosenburg		2777 South Congress Ave.			Lake Worth	FL	33436	5617027246		70.00	6	\$2,793.03	
000584	Suzanne Rosenblum		2500 Brunswick Ave., Suite 205			Lawrenceville	NJ	08848	6097711779		55.00	6	\$3,888.26	
001834	Robert Rubenstein		15-01 Broadway	Suite 10		Fair Lawn	NJ	07410	2017974761		70.00	6	\$74,772.07	
001896	Alan Rubin		900 Rt. 9 North	6Th Floor		Woodbridge	NJ	07095	7327509880		85.00	7.24,63	\$8,274.17	
0002112	Jan Rudesdi		13015 Spring Hill Drive			Spring Hill	FL	34609	3528860220		70.00	6	\$12,980.38	
001119	Terance Ruso		156 Broadway			Rensselaer	NY	12144	5184380203		70.00	6.63	\$1,429.68	
001169	Stephen Sabo		479 Route 9 South			Little Egg Harbor	NJ	08087	6092969662		50.00	7.24,63	\$15,822.75	
001129	Richard Sallee		5751 Oyster Catcher Drive #412			North Myrtle Beach	SC	29582	9738855477		75.00	6.63	\$14,207.30	
002073	Vivendra Sanghvi		3086 Route 27	Suite 9		Kendall Park	NJ	08824	7329402100		60.00	6	\$700.00	
001286	Saranita Saranta		189 West Lake Shore Drive			Rockaway	NJ	07866	2013078221		45.00	6	\$11,649.84	
001275	Anthony Sarra		34 Dietrich Street			Little Ferry	NJ	07643	2013730340		75.00	7	\$7,396.26	
002358	George Savickas		2020 Se 6Th Ave.			Cape Coral	FL	33990	2397723892		70.00	6	\$10,478.81	
000906	Mary Savino		121 Canterbury Avenue			North Arlington	NJ	07031	2019888945		80.00	6.63	\$12,457.93	
000992	Paul Szani		4705-101 Southport Supply Road			Southport	NC	28461	9104540008		75.00	6.63	\$6,117.36	
0002149	Peggy Scarborough		1616 Centerville Turnpike	Suite 213		Virginia Beach	VA	23464	7574795500		80.00	6.63	\$71,785.65	
000404	Leslie-Jo Scarzava		826 Broadway			Newburgh	NY	12550	8455626820		70.00	6.63	\$11,956.23	
001652	Jack Scher		167 Franklin Tpke	Suite 201		Waldwick	NJ	07463	2016520112		80.00	6.63	\$4,389.77	
002173	Joshua Scher		167 Franklin Turnpike			Waldwick	NJ	07463	9738318020		50.00	7.63	\$9,473.86	
001343	John Schingo		A3 Brier Hill Court			East Brunswick	NJ	08816	7322579500		70.00	6	\$3,238.39	
001971	Sally Schwartz		15 Clinton Lane			Wayne	NJ	07470	9733050377	X	70.00	7.63,65	\$3,427.43	
001185	Jennifer Sciscente		29 North Liberty Drive			Stony Point	NY	10980	8454291908		70.00	6.63	\$51,581.85	
000891	David Scoth		401 Austin Highway	Ste 202		Alamo Heights	TX	78209	2108226131		50.00	6.63	\$12,103.40	
002441	Raymond Scott		177 South Clinton St.			East Orange	NJ	07018	9736734089		70.00	6.22,63	\$3,353.60	
001645	Michael Serrapica		102 Carlsbad Court			Holmdel	NJ	07733	7184949587		70.00	6.63,65	\$5,699.91	
000793	Donato Settanni		6 Sulton Place			Katonah	NY	10536	9147670974		80.00	6.63,7	\$17,924.52	
000879	Pravinkumar Shah		36-46Th Street			Weehawken	NJ	07087	2013489100		75.00	6.63,26,65		
002301	Pradip Shah		1432 51St Street			North Bergen	NJ	07047	2013928183		85.00	6.26,63		
002038	Ramzi Shamoun		83-A Central Avenue			Ridgefield Park	NJ	07660	2013731040		70.00	6		
000081	Ludwig Sheppard		Po Box 26636			Brooklyn	NY	11202	7182239925		80.00	6.63		

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REP ID	Rep Name	Address	Address2	Address3	City	State	Zipcode	Phone	U-S	% Pavent	NASD LIC	Gross Comm
0000409	Pravin	16 Penn Road			Morris Plains	NJ	07950	9735409415	75.00	6.63	65	\$39,204.12
0002303	Sheth	6302 Hana Road			Edison	NJ	08817	9734716781	85.00	6.63		\$1,232.00
0001977	Sheth	146 Duke Street			Culpeper	VA	22701	7032129601	75.00	6.63		\$16,171.43
0000227	Daniel	303 Iversen Court			Paramus	NJ	07652	9738318020	50.00	6.724	63,66	\$57,240.26
0002323	Siegelman	P.O. Box 11688		11718 AL	Philadelphia	PA	19116	2156786090	70.00	6.63		\$8,385.55
0002350	Sikes	6 Cedar Lake Road			Denville	NJ	07834	9736250419	70.00	7.63		\$2,953.06
0001622	Silverio	170 Kinnelon Road Suite 30			Kinnelon	NJ	07405	9734925586	85.00	6.63	7,66	\$16,157.56
0002067	Simone	16 Slubbe Drive			Stony Point	NY	10980	8459424194	70.00	6.63		\$5,939.84
0002240	Simone	41 Nicole Way			Mahopac	NY	10541	8456280018	70.00	6.63		\$81,801.07
0001869	Simons	9 Drexel Court			New City	NY	10956	7184345248	75.00	6.63		\$5,562.89
0002025	Robert	176 Camden Avenue			Staten Island	NY	10309	7187275000	80.00	6.724	65	\$8,400.14
0000053	Robert	5 Cold Hill Rd. South, Suite 3		P.O.Box	Mendham	NJ	07945	9735434141	70.00	6		\$494.06
0000401	Mitchell	11-18 Saddle River Road			Fair Lawn	NJ	07410	2017961122	70.00	6		\$1,621.52
0001415	Louis	109 East Sixth Street			Clifton	NJ	07011	2017940400	70.00	6.63		\$7,854.80
0002238	Ariel	P.O. Box 1178			Guasti	CA	91743	9094668809	75.00	6.63		\$3,137.17
0000454	Arnold	815 Blooming Grove Tpke		Route 94	New Windsor	NY	12563	8455626070	70.00	6.63		\$22,417.63
0000665	Robert	33 Opling Road			Pompton Plains	NJ	07004	9732769300	70.00	6		\$8,989.02
0001735	Joseph	182 Greenwich Ave			Goshen	NJ	10924	8452948886	75.00	6.63		\$16,217.52
0001878	John	25 Bedford Road			Woodcliff Lake	NJ	07677	2018364383	70.00	6.65		\$36,493.08
0002004	Joseph	100 Merrick Road Ste. 201E			Rockville Center	NY	11570	5167831166	70.00	6.63		\$156.33
0000337	Lawrence	67 Spindler Terrace			Saddle Brook	NJ	07663	2017039397	70.00	6.63		\$16,642.25
0000002	Charlene	264 Britany F			Delray Beach	FL	33446	5614991775	70.00	6.63		\$13,234.43
0000170	Thomas	455 Kossuth Street			Paramus	NJ	07652	9738318020	50.00	6.22		\$25,962.78
0002253	John	279 Fallow Field Lane			Harleysville	PA	19438	2152560195	70.00	6.63		\$5,855.68
0002005	Clarence	129 Surrey Drive		2nd Flor	New Rochelle	NY	10804	70189608697	80.00	6.63		\$3,257.37
0000828	James	1200 East Ridgewood Avenue			Ridgewood	DE	19805	3029944042	70.00	6.63		\$20,330.80
0001979	Charles	922 New Rd			Wilmington	NJ	07866	9736252503	75.00	6.63	22	\$3,691.19
0001991	Rochelle	10 Huron Ave.			Whiting	NJ	08759	7327161811	80.00	6.63	7,24	\$66,910.82
0000016	Ronald	12 A Yorktowne Pkwy			Prescott	AZ	86305	9287719434	50.00	6.63		\$5,470.22
0002069	Robert	969 West Gurley			Paramus	NJ	07652	9733775330	70.00	6.63		\$7,478.71
0000694	Marvin	458 Evergreen Place			Paramus	NJ	07652	2015992727	75.00	6.63		\$48,629.66
0000765	Jay	191 Hamburg Turnpike			Pompton Lakes	NJ	07442	9738398373	80.00	6.63		\$114,560.15
0002366	Steven	135 Columbia Tpke		Suite 20z	Florham Park	NJ	07932	9733775330	70.00	6		\$10,188.97
0008884	Jerry	E. 152 Midland Avenue			Paramus	NJ	07652	2015992727	70.00	6.63		\$678.85
000926	David	10 Paragon Drive			Montvale	NJ	07645	2015050303	75.00	6.63	62	\$5,470.22
002190	Gigs	1330 5Th Ave.		#4M	New York	NY	10026	9175683442	70.00	7.63		\$7,478.71
002376	Gregory	101 Sylvan Way		P.O. Box	Tuxedo	NY	10987	8453515657	90.00	6.26	63	\$48,629.66
001790	Robert	400 Cressor Blvd Suite 210			Oaks	PA	19456	6106662900	80.00	6.63		\$114,560.15
002346	Glenn	2 Eaglet Glen			Hackettstown	NJ	07840	9088501610	70.00	6.63		\$10,188.97
009368	Joseph	219 Knoll Road			Boonton	NJ	07005	9738848421	55.00	6		\$678.85
001188	Paul	288 A Oak Street			Ridgewood	NJ	07450	2016120824	50.00	6.63		\$20,691.68
001631	Craig	204 Gross Drive			Glen Gardner	NJ	08826	9085376100	50.00	6		\$8,066.66
000396	Stephen	222 Cedar Lane		#206	Teaneck	NJ	07666	2016921303	70.00	6.63		\$3,525.65
002430	Dov	2203 North Lois Avenue			Tampa	FL	33607	8133500711	70.00	7		\$3,525.65
002431	Michael	2923 E Abiaca Circle			Davie	FL	33328	9544729312	70.00	7		\$240.00
001427	Raymond	347 Underwood Trail			Palm Coast	FL	32164	9046164497	65.00	6		\$432.06
002297	Sweeney	240 Prospect Ave.		Apt. 880	Hackensack	NJ	07601	2017034384	50.00	7.63		\$17,394.29
002287	Jason	8 Conklin Court			Monroe	NY	10951	8002563863	50.00	6.63		\$221.00
0000210	William	8 Alida Place			Ramsey	NJ	07446	9738318020	75.00	7.63	24,66	\$17,394.29
001714	Sallianne	58 Blossom Lane			Wallkill	NY	12589	8452948886	70.00	6.63		\$15,732.85
001677	Gregory	8399 E. Indian School Road		Suite 201	Scottsdale	AZ	85251	4809459070	55.00	7.66		\$3,950.86
001354	James	3 Weldon Place			Towaco	NJ	07082	9736410487	65.00	6		\$16,189.63
001980	John	788 Bloomfield Avenue			Verona	NJ	07044	9732395140	75.00	6		

## C.J.M. Planning Corp. - Sales Report - Calendar Year - Active Broker-Dealer Reps

REPID	Ename	Laams	Address	Address2	Address3	City	State	Zipcode	Phone	U-S	% Payout	NASD LIC	Gross Comm
0002399	James	Thaller	Abt Consulting			Riverdale	NJ	07547	9736166802	70.00	6.63	65	\$33,695.23
0000634	Robert	Thompson	41 Mandon Drive			Wayne	NJ	07470	9738721234	50.00	6.63	7,24,66	\$22,828.78
0000186	Paul	Thompson	929 Franklin Avenue			Franklin Lakes	NJ	07417	8885760400	50.00	6.63	26,7,24,65	\$182,266.62
0000960	Brian	Thompson	929 Franklin Avenue			Franklin Lakes	NJ	07417	9734230043	85.00	6.7		\$7,005.34
0001660	Kevin	Thomson	93 Tall Oaks Dr			E. Brunswick	NJ	08816	2129662214	50.00	7.63		\$293.20
0001499	Keith	Tichacek	500 Kendrick Street			Paramus	NJ	07652	2016120124	70.00	6		
0002313	Thomas	Tiefenbacher	19 Windsor Road			Clifton	NJ	07012	9737795864	70.00	6		
0001741	Stanley	Tobin	1775 York Ave.			New York	NY	10128	2129961793	70.00	6.63		\$4,669.32
0002066	Peter	Totia	14 Chapel Hill Road			Lincoln Park	NJ	07035	9736331040	80.00	6		\$52,437.55
0001037	Thuy	Tra	5415 Mainer Street			Tampa	FL	33609	8136360609	70.00	6		\$2,948.03
0001886	James	Tracey	327 Central Ave.			Linwood	NJ	08221	6099272222	80.00	6.7,65,63		\$3,979.60
0001912	Pamela	Triboletti	327 Central Ave.			Linwood	NJ	08221	6099272222	80.00	6.7		\$1,329.92
0000669	Richard	Trippeda	327 Central Ave.			Linwood	NJ	08221	6099272222	80.00	6		
0002205	Nicholas	Trolano	1236 Brace Road			Cherry Hill	NJ	08034	8563541429	70.00	6.63		\$4,020.33
0001577	Michael	Tucker	102 Jasper Ave			Teaneck	NJ	07666	2018830645	70.00	6.63		\$6,902.62
0001957	Carol	Ungar	159 Grandview Avenue			Wesley Hills	NY	10952	8453531052	75.00	7.63		\$205.92
0002315	William	Uranko	103 Springmill Drive			Middletown	DE	19709	302-449-0788	70.00	6.63		\$63,631.20
0001609	Adam	Urdang	10 Stuyvesant Ave.			Lyndhurst	NJ	07071	2014384200	70.00	6.63		\$3,277.95
000057	Mauro	Uva	45 Highland Ave.			Emerson	NJ	07630	9733403088	70.00	7		\$2,425.76
0000372	Harry	Van Why	4210 18Th Street West			Bradenton	FL	34205	9417532204	85.00	6		\$49,292.85
0000801	Karen	Vanderhoof	65 Johnson Rd			Hackettstown	NJ	07840	9733285019	70.00	6		\$6,367.59
0002066	Anthony	VanGrouw	4 Anna Rose Court			Bloomington	NJ	07403	9734825040	70.00	6		\$1,227.52
0000912	Mark	VanLenten	43 Garret Place			Midland Park	NJ	07432	2016525600	70.00	6		\$5,051.52
0002418	Andrew	Varracchia	39 Mouthrop Street			Bloomington	NJ	06512	2039342278	60.00	6.63		\$333.56
0002347	Michael	Varvar	5 Dressage Court			Millstone	NJ	08691	9088624047	70.00	6.63		\$5,728.19
0001306	Luis	Vazquez	720 Kimball Avenue			Yonkers	NY	10704	2129425678	75.00	6.63		\$9,585.30
0000711	Richard	Venditti	195 Fairfield Ave.			Waldwell	NJ	07006	9733640074	70.00	6.66		\$4,032.89
0004668	Anthony	Verley	34 Catalpa Avenue	Suite 2B		Hackensack	NJ	07601	2014880590	70.00	6		\$74,584.78
0002373	Peter	Vescovi, Jr.	P.O. Box 572			Cheshire	CT	06410	2032719114	85.00	6.22,26,63,62,65		\$35,593.49
0002388	Peter	Vinson	18 Musket Drive			North Haven	CT	06473	2032489940	70.00	7.66		\$324.92
0000291	Eva	Vinson	12 Gabriel Way			Washington Twp	NJ	07676	2014453205	80.00	6.63,62,7,24,65		\$5,130.70
0001012	Alvin	Vinson	12 Gabriel Way			Washington Twp	NJ	07676	2014453205	65.00	6.63		\$8,494.34
0001556	Emilio	Vitolo	110 Godwin Ave.			Wyckoff	NJ	07481	2018488993	50.00	6.63		\$8,494.34
0001987	Angelo	Vizzini	1235 Chambers Street			Trenton	NJ	08610	6096953290	75.00	6.63		\$4,647.07
0002113	Mark	Vlacandich	163 East Joseph Street			Moonachie	NJ	07074	2016410122	70.00	4.63,7,24		\$17,129.68
0000564	Robert	Vlacci	402 Lafayette Avenue			Cliffside Park	NJ	07010	2017965757	70.00	6.63		\$7,530.82
0001831	William	VonHusen	1-01 Morlot Ave.			Fair Lawn	NJ	07410	9086898100	60.00	6		\$35,014.75
0000952	John	Voorhees	88 Flower Avenue			Washington	NJ	07882	2128648010	80.00	6.63,7		\$3,623.63
0001951	Gordon	Waddington	320 Riverside Drive			New York	NY	10025	7328189180	75.00	6.63		\$11,673.05
0001890	David	Waite	18 North Perry Street			Johnstown	NY	12095	5187629298	70.00	7.66		\$12,919.34
0002040	Robert	Wallach	2 Benjamin Road			Chester	NJ	07930	9088791311	75.00	6.63		\$321.64
0001648	Thomas	Walsh	13 Hawk Nest Rd			Tomkins Cove	NY	10986	8457865977	70.00	6		\$193.46
0001340	John	Walton	1263 Route 31			Lebanon	NJ	08833	9087356213	70.00	6		\$9,810.20
0001818	Richard	Walton	Po Box 843			Denville	NJ	07834	9738122870	70.00	6		\$2,695.33
0001608	Ellen	Wanamaker	30 Craig Court			Totowa	NJ	07812	7189819600	60.00	7.63		\$3,230.87
000257	Thomas	Watkins	719 Prospect Ave.			Cliffwood Beach	NJ	07735	2014373151	70.00	6		\$5,539.22
0002221	Mark	Weg	96 West 38Th Street			Beyonne	NJ	07002	8568750400	70.00	6.63,65,7		\$9,350.51
0000631	Allan	Weinstein	Po Box 807			Williamstown	NJ	08094	8103233167	70.00	6.63		\$6,041.77
0001576	Robert	Weir	54 Doe Run Lane			Pottstown	PA	19464	2033869300	70.00	6.63		\$15,128.69
0002382	Daniel	Weller	2282 Barnum Ave.			Stratford	CT	06615	3388546182	70.00	6.63		\$956.01
0001924	Roland	West	P.O. Box 5002			Greensboro	NC	27435	2126448231	70.00	7.63		
000190	Joseph	Westry	599 Main Street			New York	NY	10044					
0002278	Seymour	Williams											

Sept 30

2005 YTD



## C.J.M. Planning Corp. - Sales Report - Calendar Year - Active Broker-Dealer Reps

REPID	Frane	Liame	Address	Address2	Address3	City	State	Zipcode	Phone	U-5	% Payout	NASD LIC	Gross Comm
002406	George	Willis	509 RT. 70 west			Cherry Hill	NJ	08002	8564288210		70.00	6.63	\$4,221.67
001681	Barbara	Wilson	110 Pine Brook Road			Chestnut Ridge	NY	10977	8453584233		70.00	6.63	\$408.17
002162	Dorothy	Wilson	Po Box 1223			Wall	NJ	07719	7322809060		85.00	6.63	\$61,455.39
000043	David	Wolff	40 South Fourth St			Easton	PA	18042	6102589181		65.00	6.63	\$45,152.87
001437	Joseph	Wolff	36 Mill Plain Road			Danbury	CT	06811	2037439499		70.00	6.65	\$11,066.04
000370	Eric	Woo	39-14 Romana Drive		Suite 300	Fair Lawn	NJ	07410	9738318020		50.00	6.63,7.66	\$3,929.60
001813	Donald	Worster	96 East Main Street		PO Box 280	Little Falls	NJ	07424	9738901800		75.00	6.66	\$32,546.64
001785	Noel	Wright	125 State St. Ste. 109			Hackensack	NJ	07801	2016461333		70.00	6.63	\$342.57
002377	Marshall	Wright	106 East Philadelphia Ave			Boyetown	PA	18512	6103677121	X	75.00	7.63	\$34,359.65
002433	Peter	Xenakis	1801 Cypress Lane			East Brunswick	NJ	08816	2018067317		55.00	7.24,63	
001493	Vincent	Yeh	241 Lafayette St		2Nd Floo	New York	NY	10012	2123341898		45.00	7.63	\$92,885.63
002352	Thomas	Ymbras	96 Pigott Road			Mahopac	NY	10541	8456284522		90.00	6.63	\$9,461.52
002274	Randall	Yoh	152 W. Main Ave.			Myerslown	PA	17067	7178667529		65.00	6.63	\$3,288.45
002367	Robert	Young	2921 Meadow Crest Drive			Yorktown Heights	NY	10598	9142439044		70.00	6.63	\$12,629.60
002375	Samuel	Zalfa	23 Pelham Road			Wayne	NJ	07470	9735951338		75.00	7	\$4,565.21
001663	Paul	Zielinski	96 East Main St.		Po Box 2	Little Falls	NJ	07424	9738900595		70.00	6	\$59,767.05
777777											0.00		\$10,395,182.21

## Terminations(U-5) Prior to signing of contract

002272	O'Neil	Anderson											
000045	Armando	Cocuzza											\$6,465.94
001311	David	Friebling											\$2,251.85
001379	Joseph	Rufo											\$17,536.72
002144	Theresa	Kinczler											\$1,248.55
002283	Catherine	Turner											\$1,506.94
001676	Harold	Brown											\$5,151.41
001937	Bush	Joseph											\$10,469.03
001597	Vincent	Commereto											\$4,737.83
002361	Mel	Dannison											\$9,309.66
000033	Rocco	Mazzo											\$34,491.99
000382	George	Rodriguez											\$93,169.92
002156	Phillip	Stalter											
002310	Michael	Strulowitz											

## New Additions after signing the contract

002453	Stephen	Battifarano	13225 N Fountain Hills Blvd#	#303		Fountain Hills	AZ	85268		80	7.66		
002452	Victor	Botino	386 Getz Ave.			Staten Island	NY	10312		60	7.63		
002423	Dennis	Judge	Judge Financial Services			Gibbsboro	NJ	08026		85	6.63		
002435	David	King	19222 Ridgelaake Drive		148 Lakeview Driv	Lutz	FL	33549	8563462600	55	6		
002021	Frank	Maresca	186 N. Manhattan Ave			Massapequa	NY	11758	5167954249	70	4,7,24,63		
002447	Stacia	Morris	4 Queens Gate			Norwalk	CT	06851	2038499509	70	6.63,65		
002064	Timothy	Murphy	8 N. Forklanding Road			Maple Shade	NJ	08052	8566875222	87.5	6.63,65		
002449	Mary	Seville	Judge Financial Services			Gibbsboro	NJ	08026	8563462600	85	7		
002436	Robert	Walker	4006 San Luis Street		146 Lakeview Driv	Tampa	FL	33629	8136248643	55	6		

## Notes:

- 1) Production is for active broker-dealer reps with some recent U-5 activity. Terminations are marked by an X in column K.
- 2) Planning - Gross concession, Insurance - Rep commission, Asset Mgmt(3rd Party) Gross Commission, Asset Mgmt(CIMS) - Rep Commission

## C.J.M. Planning Corp. - Sales Report - Calendar Year - Active Broker-Dealer Reps

REPID	Frame	LPanic	Address	Address2	Address3	City	State	Zipcode	Phone	U-5	% Payout	NASD LIC	Sept 30 2005 YTD Gross Comm
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3) There are currently some reps associated with the Insurance Company even though they are not with the BD

4) This is a report of calendar year commission.

5) The Broker-Dealer has production revenues which does not flow through the system for this report. These revenues include 1) Trails not paid to RR's due to the rep not hitting the CJM threshold 2) Orphan accounts that were never moved over to house which includes trails and production 3) No production or trails paid through for Joseph or Charles Mustumeci

**From:** "Kuncl, Jim (Genworth)" <Jim.Kuncl@genworth.com>  
**To:** "Azcurra, Jackie" <jazcurra@1stadvisorsmtg.com>  
**Date:** 3/8/2006 3:59 pm  
**Subject:** Updated to Musumeci House Account

(E)

**CC:** "Vasquez, Enrique (Genworth)" <Enrique.Vasquez@...  
Jackie-

Attached is the final analysis for the house accounts for Joe and Charlie. I have attached two files.

The first file is the file that was originally sent to you, and the second file is additional accounts that we found mapped to our house account. Both files contain information for total accounts, and also information for accounts in states that Joe and Charlie are currently licensed in. At this time, we can only pay them for business in states in which they are licensed. Should they choose to get licensed in additional states, we can move accounts to them. Here is a summary of how the attached files break down:

Commissions to be paid on following accounts (states where Joe and Charlie are licensed):

1) CJM house accounts in original file for both trails and new transactions:

Accounts = 2402

Gross Commissions = \$22,571.78 (Joe and Charlie would be entitled to 60% of this)

2) CJM house accounts in additional file (accounts that were mapped to our house account):

Accounts = 370

Gross Commissions = \$5,223.85 (Joe and Charlie would be entitled to 60% of this)

Potential additional accounts (pending state licensing):

1) CJM house accounts in original file for both trails and new transactions:

Accounts = 715

Gross Commissions = \$12,692.23 (Joe and Charlie would be entitled to 60% of this)

2) CJM house accounts in additional file (accounts that were mapped to our house account):

Accounts = 60

Gross Commissions = \$2,277.03 (Joe and Charlie would be entitled to 60% of this)

As soon as we are in agreement on the accounts, and Joe and Charlie sign

their rep agreement with these defined, we can go ahead and pay them for the past commissions and set them up for future payments.

Let me know if what I laid out here isn't clear or if you need any additional help understanding the files.

Thanks,

Jim

James J. Kuncel  
Manager Finance  
Genworth Financial Investment Services, Inc.  
200 N. Martingale Road, 7th Floor  
Schaumburg, IL 60173-2096  
Phone: 847.330.7920  
Fax: 847.330.7978

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Summary

**File Summary****Including only States CT, FL, NJ, NY and PA**

	<u>Gross Comm</u>	<u>Client Count</u>
Trails	\$ 16,486.07	2140
Transactions	\$ 6,085.71	262
Total:	\$ 22,571.78	2402

**Additional States**

	<u>Gross Comm</u>	<u>Client Count</u>
Trails	\$ 8,549.94	607
Transactions	\$ 4,142.29	108
Total:	\$ 12,692.23	715

**Including All States**

	<u>Gross Comm</u>	<u>Client Count</u>
Trails	\$ 25,036.01	2747
Transactions	\$ 10,228.00	370
Total:	\$ 35,264.01	3117

**File Summary****Including only States CT, FL, NJ, NY and PA**

	<u>Gross Comm</u>	<u>Client Count</u>
Trails	\$ 4,625.10	348
Transactions	\$ 598.75	22
Total:	\$ 5,223.85	370

**Additional States**

	<u>Gross Comm</u>	<u>Client Count</u>
Trails	\$ 725.71	58
Transactions	\$ 1,551.32	2
Total:	\$ 2,277.03	60

**Including All States**

	<u>Gross Comm</u>	<u>Client Count</u>
Trails	\$ 5,350.81	406
Transactions	\$ 2,150.07	24
Total:	\$ 7,500.88	430

Summary

**Azcurra, Jackie - Amendment for House Accounts**

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**From:** "Rothenberg, Jon (Genworth)" <Jon.Rothenberg@genworth.com>  
**To:** "Azcurra, Jackie" <jazcurra@1stadvisorsmtg.com>  
**Date:** 3/22/2007 4:31 PM  
**Subject:** Amendment for House Accounts  
**CC:** "Ronconi, Darryl (Genworth)" <darryl.ronconi@genworth.com>, "Shay, James W (Genworth)" <James.Shay@genworth.com>

---

Jackie:

Can you please have Joe and Charlie sign and return the attached amendment. This amendment addresses the states that Joe could not obtain registration (AZ,MO,ND,NH,OH and TN). We will pay Charlie 60% of the gross commissions for these states as long as he maintains his registrations.

Jon

**Jon H Rothenberg**  
Genworth Financial  
VP, Commissions  
Genworth Financial Securities Corp., Member NASD/SIPC  
200 N. Martingale Road, 7th Floor  
Schaumburg, IL 60173

888.528.2987 ext.7990 or 847.330.7990  
Fax: 847.330.7912  
Jon.rothenberg@genworth.com

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ACKNOWLEDGEMENT AND RECEIPT OF ATTACHMENT A TO SUPPLEMENT  
NO. 1 OF EXHIBIT A IN THE SALES REPRESENTATIVE AGREEMENT

This Acknowledgement and Receipt, dated March 21, 2007, of the enclosed Attachment A relates to, and is incorporated by reference in, the Sales Representative Agreement entered into between S. Charles Musumeci, Jr. and Genworth Financial Securities Corporation on November 10, 2006 and any exhibits or supplements thereto, including Supplement No. 1 of Exhibit A regarding CJM House Accounts. This document supersedes and replaces all prior documents acknowledging receipt of the enclosed Attachment A.

By signing this form, you acknowledge and agree to the following:

- The list of CJM House Accounts on enclosed Attachment A is accurate and complete.
- Supplement No. 1 to Exhibit A of Sales Representative Agreement describes all commissions to be paid in connection with CJM House Accounts on Attachment A.
- Commissions will be paid only in connection with client accounts for which you have acquired and maintain active securities registrations and insurance licenses, as required under all applicable state, federal and industry rules or regulations, including rules of the National Association of Securities Dealers (NASD). For accounts in states where both Joseph C. Musumeci and you are registered and licensed, commissions based on a 60% payout rate will be split equally between Joseph and you. For accounts in each state where Joseph is not properly registered or licensed, you will receive all commissions if you maintain active registration and licensing in such state. Specifically, commissions will be paid to you only for accounts of clients residing in the following states:

Alabama	Arizona	California	Connecticut
District of Columbia	Delaware	Florida	Georgia
Idaho	Illinois	Indiana	Kentucky
Massachusetts	Maryland	Michigan	Missouri
North Carolina	North Dakota	New Hampshire	New Jersey
New York	Ohio	Pennsylvania	South Carolina
Tennessee	Texas	Utah	Virginia
Vermont	Washington	Wisconsin	

Acknowledged and Agreed:

  
S. Charles Musumeci, Jr.

Approved:

Genworth Financial Securities Corporation

By: \_\_\_\_\_

Enclosure

**ACKNOWLEDGEMENT AND RECEIPT OF ATTACHMENT A TO SUPPLEMENT  
NO. 1 OF EXHIBIT A IN THE SALES REPRESENTATIVE AGREEMENT**

This Acknowledgement and Receipt, dated March 21, 2007, of the enclosed Attachment A relates to, and is incorporated by reference in, the Sales Representative Agreement entered into between Joseph C. Musumeci and Genworth Financial Securities Corporation on November 10, 2006 and any exhibits or supplements thereto, including Supplement No. 1 of Exhibit A regarding CJM House Accounts. This document supersedes and replaces all prior documents acknowledging receipt of the enclosed Attachment A.

By signing this form, you acknowledge and agree to the following:

- The list of CJM House Accounts on enclosed Attachment A is accurate and complete.
- Supplement No. 1 to Exhibit A of Sales Representative Agreement describes all commissions to be paid in connection with CJM House Accounts on Attachment A.
- Commissions will be paid only in connection with client accounts for which you have acquired and maintain active securities registrations and insurance licenses, as required under all applicable state, federal and industry rules or regulations, including rules of the National Association of Securities Dealers (NASD). For these accounts, commissions based on a 60% payout rate will be split equally between S. Charles Musumeci and you. For accounts in each state where you are not properly registered or licensed, Charles will receive all commissions if he maintains active registration and licensing in such state. Specifically, commissions will be paid to you only for accounts of clients residing in the following states:

Alabama	California	Connecticut	District of Columbia
Delaware	Florida	Georgia	Idaho
Illinois	Indiana	Kentucky	Massachusetts
Maryland	Michigan	North Carolina	New Jersey
New York	Pennsylvania	South Carolina	Texas
Utah	Virginia	Vermont	Washington
Wisconsin			

**Acknowledged and Agreed:**

  
Joseph C. Musumeci

**Approved:**

Genworth Financial Securities Corporation

By: \_\_\_\_\_

Enclosure

J

**Joseph C. Musumeci**  
**223 Wanaque Ave.**  
**Pompton Lakes, NJ 07442**

April 19, 2007

Jon H. Rothenberg  
Genworth Financial  
200 N. Martingale Road  
7<sup>th</sup> Floor  
Schaumburg, IL 60173

Jon:

Please use this letter as a request to send a supplement of Exhibit A of our sales representative agreement so that I, Joseph C. Musumeci receive 100% of the accounts listed on that exhibit A. I should receive the full 60% commission on all of the accounts for the states that I am currently licensed in. I also understand that I cannot get paid on the 6 states (AZ, MO, ND, NH, OH and TN) that I am currently not licensed in from that account list. I will actively work with Genworth's licensing Dept. to re apply to those states to get reinstated. These accounts should be now listed under my special Rep code 4456/4932.

I am still waiting for confirmation from you, for a new login so that I may have access to these accounts, to view and service them. I am also still waiting for a print out on all of the commission runs, so that I can match up all of our payments from the closing date right up to the most current transactions. Hopefully we can complete this reconciliation so that moving forward; the transactions and commissions can be verified weekly.

This request and amendment is to take affect immediately. The commissions can continue to be direct deposited into the existing account on record.

Sincerely,

  
Joseph C. Musumeci

I, S. Charles Musumeci Jr., Hereby agree with the above letter and assign my brother Joseph C. Musumeci all of the commissions due me in my sales representative agreement to him, effective immediately.

Sincerely,

  
S. Charles Musumeci Jr.

223 Wanaque Ave, Pompton Lakes, NJ 07442  
973-831-8020

**Joseph C. Musumeci**

# Fax

<b>To:</b> Jon Rothenberg	<b>From:</b>
<b>Fax:</b> 847-330-7912	<b>Pages:</b> 2 inc. cover
<b>Phone:</b>	<b>Date:</b> 04/19/07
<b>Re:</b> Exhibit A Supplement	<b>CC:</b>

☒ **Urgent**    ☐ **For Review**    ☐ **Please Comment**    ☐ **Please Reply**    ☐ **Please Recycle**

• **Comments:**

\*\*\*\*\*  
 \*\*\* ACTIVITY REPORT \*\*\*  
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ST. TIME	CONNECTION TEL	CONNECTION ID	NO.	MODE	PGS.	RESULT
*04/03 12:45			5521	AUTO RX	ECM	1 OK 00'45
*04/05 08:15			5522	AUTO RX	ECM	1 OK 00'24
*04/09 10:18			5523	AUTO RX	ECM	1 OK 00'31
*04/09 11:19	12016523692		0230	TRANSMIT	ECM	1 OK 00'31
*04/10 07:56	888 548 0420		5524	AUTO RX	ECM	1 OK 00'25
*04/10 10:28			5525	AUTO RX	ECM	1 OK 00'32
*04/11 11:13	888 548 0420		5526	AUTO RX	ECM	1 OK 00'25
*04/12 10:13	7322387068		5527	AUTO RX	ECM	2 OK 00'54
*04/12 19:33			5528	AUTO RX	ECM	1 OK 00'55
*04/13 08:32	888 548 0413		5529	AUTO RX	ECM	1 OK 00'29
*04/13 11:09			5530	AUTO RX	ECM	2 OK 00'22
*04/13 13:38	15853897855		0231	TRANSMIT	ECM	6 OK 02'46
*04/16 14:46	610 252 0900		5531	AUTO RX	ECM	14 OK 01'17
*04/16 15:13	17322387068		0232	TRANSMIT	ECM	1 OK 00'37
*04/17 08:41			5532	AUTO RX	ECM	1 OK 00'28
*04/17 09:40	19086889112		0233	TRANSMIT	ECM	1 OK 00'17
04/17 13:01	16097293261		0234	TRANSMIT	ECM	1 OK 00'19
04/18 08:42			5533	AUTO RX	ECM	1 OK 00'34
04/18 10:14			5534	AUTO RX	ECM	1 OK 00'24
04/19 09:49	18473307912	GENWORTH FINANCI	0235	TRANSMIT	ECM	2 OK 00'23



**Jackie Azcurra**

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**From:** Jackie Azcurra [jazcurra@1stadvisorsmtg.com]  
**Sent:** Friday, May 23, 2008 10:48 AM  
**To:** jon.rothenberg@genworth.com; jackcjm@optonline.net  
**Subject:** Good Morning - Musumeci

Good Morning John:

I just wanted to check in and make sure that everything was being done correctly with Mr. M's accounts. We've established the "joint ID", but I wanted to be absoluteley sure that all of his accounts are reflected correctly (I understand Joe must have the proper credentials for each individual client, and there will be a handful that he will not have).

I also wanted to ask about the house account status. We're going on 2 1/2 years now, and we still don't have it right. Besides the commissions, I do not have account listings or access to them. In order to comply with Genworth's requirements, I really need to get this straightened out. I would appreciate it if you could assist me, and if you can't, please direct me to the appropriate individual.

Thank you again John for your help. Have a great Holiday Weekend!!

Jackie Azcurra  
Vice-President  
1st Advisors Mortgage  
223 Wanaque Avenue  
Pompton Lakes, NJ 07442  
973-831-8150 x7130

**Jackie Azcurra**

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**From:** Ronconi, Darryl (Genworth) [Darryl.Ronconi@genworth.com]  
**Sent:** Wednesday, June 25, 2008 12:21 PM  
**To:** Jackie Azcurra  
**Subject:** RE: Musumeci

Jackie,

I just back into the office today. I will review with Enrique and Ed Wiles and then get back to you.

Darryl

---

**From:** Jackie Azcurra [mailto:jazcurra@1stadvisorsmtg.com]  
**Sent:** Friday, June 20, 2008 9:08 AM  
**To:** Ronconi, Darryl (Genworth)  
**Subject:** Musumeci

Hi Darryl:

It's Jackie from Joe and Charles Sr's office. I have been working with Jon Rothenberg regarding the house accounts for Joe. We seem to have made some headway on the commissions side of our house and old rep accounts. I really won't know for sure how accurate it is until I get a full year's worth of the trails. We have also successfully added Joe to Charlie Sr's accounts.

When I mentioned to Jon that I still don't have access to these accounts however; he said that I needed to speak with you. It will be 3 years this October that the transition to Genworth occurred, and I still can't service these accounts the way they should be. We are trying diligently to abide by all the compliance regulations, but without access to our accounts it is impossible. Last year at the DC convention you had mentioned to Joe that we would be receiving the list shortly, but we never did.

If you would so kindly give me an update as to where we stand regarding my concern, I would greatly appreciate it.

Thanks again,

Jackie Azcurra  
Vice-President  
1st Advisors Mortgage  
223 Wanaque Avenue  
Pompton Lakes, NJ 07442  
973-831-8150 x7130

**Jackie Azcurra**

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**From:** Jackie Azcurra [jazcurra@1stadvisorsmtg.com]  
**Sent:** Tuesday, July 01, 2008 10:08 AM  
**To:** 'Ronconi, Darryl (Genworth)'  
**Subject:** RE: Musumeci

Good Morning Darryl:

I haven't heard back from you regarding this matter yet. I really don't want this to fall through the cracks again, because it has been going on for quite some time already. Please advise of your review with Enrique and Ed Wiles.

Thank you,  
Jackie Azcurra

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**From:** Ronconi, Darryl (Genworth) [mailto:Darryl.Ronconi@genworth.com]  
**Sent:** Wednesday, June 25, 2008 12:21 PM  
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**Subject:** Musumeci

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Thanks again,

Jackie Azcurra  
Vice-President  
1st Advisors Mortgage

**Jackie Azcurra**

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**From:** Jackie Azcurra [jazcurra@1stadvisorsmtg.com]  
**Sent:** Tuesday, July 01, 2008 10:55 AM  
**To:** 'Ronconi, Darryl (Genworth)'  
**Cc:** 'Enrique.Vasquez@genworth.com'; 'Ed.Wiles@genworth.com'; 'Mike.Gandet@genworth.com'  
**Subject:** Follow up to our conversation

Darryl:

Thank you for your prompt response. Due to the fact that you indicated you would not verify for me in writing our conversation regarding the "house" accounts. I would like to verify and re-cap our conversation.

Your review with Enrique and Ed Wiles, has now determined the following:

- 1 - That the revenues generated from these house accounts, would continue to be paid to Joe at 60%
- 2 - Genworth has taken on the responsibility of obtaining new updated account forms for these clients.
- 3 - Genworth WILL NOT be putting the accounts in Joseph Musumeci's name, and does not want Joe to service these accounts ever.

Please reply back to me with your agreement of my re-cap so that my understanding is correct and I'm not missing anything.

Thank you,  
Jackie Azcurra  
973-831-8150 x7130

**Jackie Azcurra**

**From:** Ronconi, Darryl (Genworth) [Darryl.Ronconi@genworth.com]  
**Sent:** Wednesday, July 02, 2008 12:42 PM  
**To:** Jackie Azcurra  
**Cc:** Vasquez, Enrique (Genworth); Wiles, Edward (Genworth); Mike.Gandet@genworth.com  
**Subject:** RE: Follow up to our conversation

Jackie,

As I mentioned in our phone conversation, nothing is changing at this point in time. We are still reviewing and will get back to you if there are any changes.

Regards,  
Darryl

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**From:** Jackie Azcurra [mailto:jazcurra@1stadvisorsmtg.com]  
**Sent:** Tuesday, July 01, 2008 10:55 AM  
**To:** Ronconi, Darryl (Genworth)  
**Cc:** Vasquez, Enrique (Genworth); Wiles, Edward (Genworth); Mike.Gandet@genworth.com  
**Subject:** Follow up to our conversation

Darryl:

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Jackie Azcurra

973-831-8150 x7130